



# Handbook on Coordinating Funding for Water and Wastewater Infrastructure

A Compilation of State Approaches



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# Introduction

States and the federal government have funded billions of dollars' worth of improvements to drinking water and wastewater infrastructure. Even so, drinking water and wastewater utilities across the country still need to significantly increase their investments to upgrade aging and deteriorating capital assets. In response to this need, utilities, states, and the federal government have recognized the importance of making financial assistance easier to obtain. Many states have established approaches to coordinate funding (see Appendix C). Because there are numerous ways to coordinate funding, the U.S. Environmental Protection Agency (EPA) surveyed six states – Arizona, California, Montana, New York, Pennsylvania, and Washington – to identify the keys to the success of their coordinated funding approaches (see Appendix A). This handbook presents the lessons learned by these states so that other states may understand the benefits and challenges of coordinating funding efforts.

## The Need For Funding

Over the past several years, several studies have highlighted the need for substantial investment in the nation's drinking water and wastewater infrastructure. Estimates of the cost of this investment vary, but EPA's *Clean Water and Drinking Water Infrastructure Gap Analysis*<sup>1</sup> estimated that the capital needs for clean water from 2000-2019 will approach \$388 billion, and the capital needs for drinking water during the same period will be almost \$274 billion. Given the significant size of this investment, the need for coordination among funding assistance programs to get the biggest “bang for the buck” has never been greater.

Although most water infrastructure funding comes from user fees, state and federal aid compose a significant portion of the nation's water infrastructure investment. From fiscal year (FY) 1991 through FY 2000, nine federal agencies made available approximately \$44 billion for drinking water and wastewater capital improvements.<sup>2</sup> Four of the agencies – EPA, the Department of Agriculture (USDA), the Department of Housing and Urban Development (HUD), and the Department of Commerce – accounted for 98 percent of this funding, as shown in Figure 1.

**Figure 1: Federal Drinking Water and Wastewater Infrastructure Funding Sources**

Agency	Funding Program	Acronym	% of Fed. Funding
EPA	Clean Water State Revolving Fund	CWSRF	57
	Drinking Water State Revolving Fund	DWSRF	
USDA	Rural Utilities Service	RUS	28
HUD	Community Development Block Grant	CDBG	10
Commerce	Economic Development Administration	EDA	3

<sup>1</sup> U.S. EPA Office of Water, *The Clean Water and Drinking Water Infrastructure Gap Analysis*, EPA-816-R-02-020, September 2002.

<sup>2</sup> U.S. General Accounting Office, *Financial Assistance for Water Infrastructure*, GAO-02-134, November 2001.



EPA provides the majority of the water and wastewater infrastructure funding from these four agencies. However, most of the assistance from HUD and all of the assistance from RUS specifically target disadvantaged systems, rural utilities, or other communities in need of financial and technical assistance. Funding from HUD and RUS is critical to building, improving, and maintaining the infrastructure of systems most in need of guidance – those that may not be aware of, or have the resources to apply for, funding assistance. The federal assistance not provided by the four agencies, \$1.1 billion over the last ten fiscal years, was provided by the Appalachian Regional Commission, the U.S. Army Corps of Engineers, the Department of the Interior’s Bureau of Reclamation, the Federal Emergency Management Agency, and the Small Business Administration.

Over the past ten fiscal years, state governments provided nearly \$25 billion for utilities to invest in water infrastructure.<sup>3</sup> The primary sources of state funding were legislative appropriations, dedicated fees and taxes, and proceeds from the sale of general obligation and revenue bonds. Many states allocated additional funds to provide financing through other state-sponsored programs. The General Accounting Office (GAO) identified 120 such programs in 46 states that provide funding for drinking water or wastewater infrastructure projects.<sup>4</sup>

### ***The Need to Coordinate***

Clearly, there are many federal and state funding programs. These programs vary in the type and amount of assistance they provide, the requirements they set for recipients, their application processes, their funding schedules, and their goals. Some programs focus on public health and environmental protection, some on small systems, and others on economic development. Navigating the network of available state and federal funding sources can be time consuming, confusing, and overwhelming for water systems, particularly small systems that often need help the most.

Recognizing the need to coordinate funding at the federal level, in 1997 EPA, HUD, and USDA issued a joint memorandum on “Cooperation and Coordination on Jointly Financed Water and Wastewater Activities” to encourage cooperation among federal, state, and local drinking water and wastewater infrastructure-funding agencies (see page 8 for more information). Several states have already been successful at efforts to coordinate funding at the state level. State programs are often best positioned to understand, address, and prioritize the needs and challenges of water and wastewater utilities within their borders. Therefore, state funding programs can coordinate with a focus on alleviating the specific burdens faced by their utilities. Ultimately, efforts at the state level, where programs are implemented, will determine the success of coordinated funding. States already have the power, tools, and flexibility to coordinate their infrastructure assistance efforts. As the case studies in this handbook show, this potential has already been realized by many states.

Efforts to coordinate funding can enhance communication between, and reduce administrative work for, the funding agencies. Limited interaction between state and federal agencies can result in competition and duplication of effort, wasting the limited resources (such as staff time) of utilities and funding agencies. Coordination at the state and federal levels and increased communication between state and federal agencies benefit those seeking assistance and those providing assistance.

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<sup>3</sup> U.S. General Accounting Office, *Financial Assistance for Water Infrastructure*.

<sup>4</sup> Ibid.

### *Using this Handbook*

This handbook provides information for states that are just beginning to coordinate and offers ideas for states that have already implemented some form of coordinated funding. It first discusses the elements of coordinated funding, the reasons to coordinate funding, and the benefits of coordinated funding. The handbook also presents the approaches of six states that have successfully coordinated drinking water and wastewater infrastructure-funding programs. Based on the lessons learned from these six states, the handbook answers the following questions:

- How Can You Get Started?
- What Challenges Should You Consider?
- How Can You Overcome the Challenges and Implement Your Approach?
- How Can You Assess Your Efforts?

The six states featured in this handbook completed detailed surveys on their coordinated funding efforts, which are included in Appendix A. Sample coordinating documents for the six states surveyed, including a Memorandum of Understanding (MOU) and a pre-application screening form, can be found in Appendix B. Appendix C includes a summary of the coordinated funding efforts of all states.

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# What is Coordinated Funding?

**C**oordinated funding is a means of improving public health and environmental quality by:

- Simplifying drinking water and wastewater utilities' search for funding.
- Improving the match between available assistance and a system's specific needs.
- Enhancing communication among water infrastructure-funding agencies.
- Creating a simplified, less redundant review process.

## *What Forms Can Coordinated Funding Take?*

States can choose from a wide range of coordinated funding strategies tailored to best suit the needs of their funding agencies and of their drinking water and wastewater systems. Coordinated funding may evolve from a series of informal meetings into more formalized coordination, as was the case in Arizona, Montana, and Washington. Coordinated funding efforts can target utilities that need additional assistance, as was done in California, or they can address funding needs state-wide, regardless of an applicant's location, size, or financial condition, as happened in Arizona. The advice from states that have attempted coordinated funding is: Don't be afraid to start small.

**Figure 2: Coordinating Funding Spectrum**

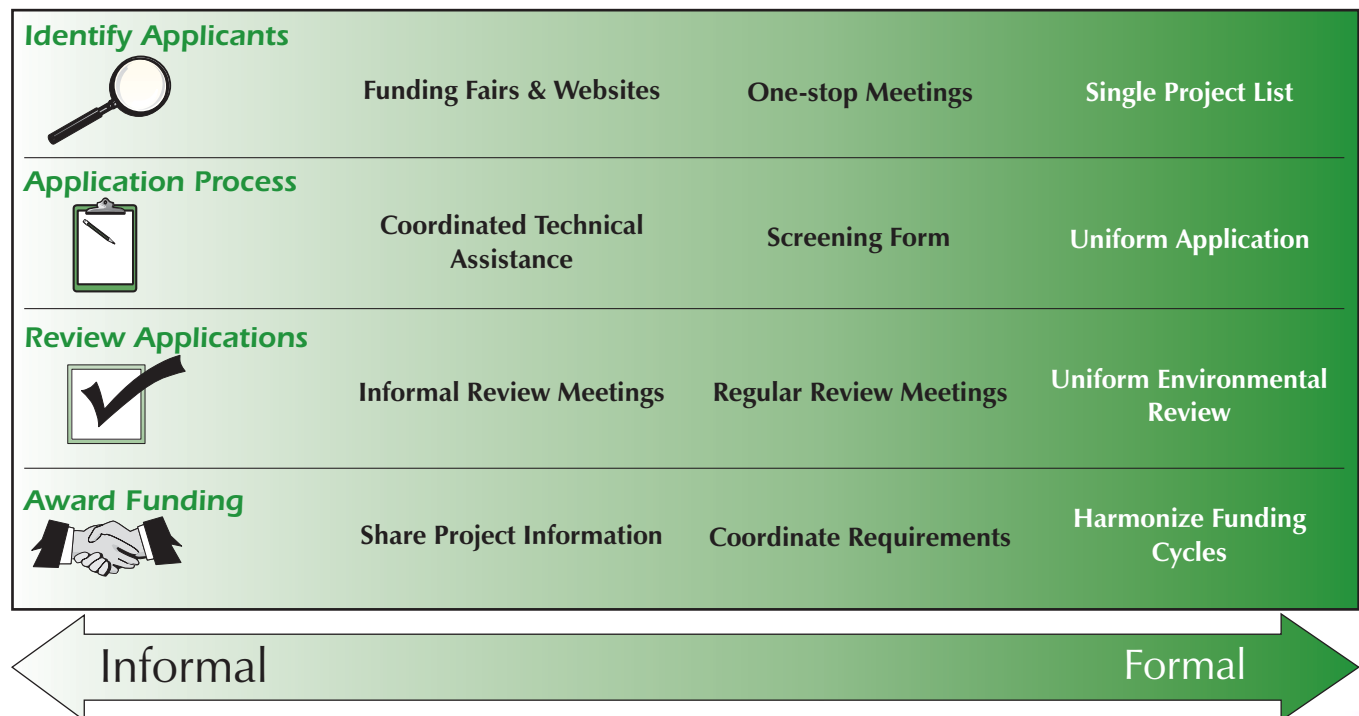
























Figure 2 shows examples of the forms that a coordinated funding program can take, from informal cooperation to formal coordination. Funding agencies can work together to develop programs that coordinate at any point in the assistance process. However, funding should be coordinated at a point that suits the circumstances of each state or agency. If the funding agencies in your state generally do not communicate with each other, your best strategy may be to start gradually with a carefully planned process. As the goals of agencies harmonize, the level of coordination can increase.

The forms of coordinated funding employed by the six states surveyed for this handbook cover a broad spectrum, as shown in Figure 3. Several of the states, including Arizona and Montana, have integrated many aspects of all the major funding agencies. On the other hand, Pennsylvania's effort primarily involves informal cooperation among agencies, except for the uniform environmental review (UER), which is formally coordinated. Information on the survey responses of each state is provided in Appendix A.

**Figure 3: Coordinated Funding Approaches from Surveyed States**

State	One-Stop Meetings or Screening	Technical Assistance	MOU/ MOA	Joint Environmental Reviews	Regular Project Review Meetings	Funding Fairs or Events	Website	Uniform Application
AZ								
CA								
MT								
NY								
PA								
WA								



# What Funding Sources Can be Coordinated?

**A**s noted previously, there are many federal and state drinking water and wastewater infrastructure funding programs. The primary federal drinking water and wastewater infrastructure funding sources are described below. Figure 4 summarizes the characteristics of the primary federal funding sources.



**EPA's DWSRF.** Established by the 1996 Amendments to the Safe Drinking Water Act (SDWA), the DWSRF provides capitalization grants to states. States must match 20 percent of their annual capitalization grants. State DWSRF programs provide low-interest loans or other assistance to public water systems to finance infrastructure projects needed to maintain or achieve compliance with the SDWA. As of June 30, 2002, the DWSRF program had provided water systems with \$5.1 billion to fund more than 2,500 eligible projects. The FY 2003 federal appropriation for state capitalization grants totaled \$844.5 million.

[www.epa.gov/safewater/dwsrf.html](http://www.epa.gov/safewater/dwsrf.html)



**EPA's CWSRF.** Authorized by the 1987 Amendments to the Clean Water Act (CWA), the CWSRF provides capitalization grants to states. States must match 20 percent of their annual capitalization grants. State CWSRF programs provide low-interest loans or other assistance to publicly owned wastewater systems and nonpoint source pollution control and estuary management projects. As of June 30, 2002, the CWSRF program had financed 12,500 wastewater treatment, nonpoint source, and estuary management projects totalling over \$38.7 billion. The FY 2003 federal appropriation for state capitalization grants totaled \$1.34 billion.

[www.epa.gov/owm/cwfinance/cwsrf/index.htm](http://www.epa.gov/owm/cwfinance/cwsrf/index.htm)



**USDA's RUS.** RUS provides infrastructure assistance for rural drinking water and wastewater utilities through leadership, financial assistance, and technical guidance. Its Water Programs Division (under the Water and Environmental Programs) administers four grant and loan programs for the development of safe and affordable water supply systems, sewage systems, and other waste disposal facilities. In FY 2002, the Division awarded close to \$2.1 billion in direct or guaranteed loans and grants to rural communities for the development of drinking water and waste disposal facilities. Between

1985 and 2002, RUS water and wastewater obligations exceeded \$17.4 billion. Approximately \$1.3 billion in assistance was made available in FY 2003.

[www.usda.gov/rus/index.html](http://www.usda.gov/rus/index.html)



**HUD's CDBGs.** Since 1981, HUD has distributed block grants directly to entitlement communities and to states for distribution to non-entitlement communities, which include cities with populations of fewer than 50,000 and counties with populations of fewer than 200,000. Of the 50 states, only Hawaii does not participate. HUD aims to provide decent housing, healthy living conditions, and economic opportunities primarily for lower income communities. Projects funded by block grants must either benefit lower income people or help prevent or eliminate "slums and blight." Systems have used assistance from block grants to meet state and federal regulations by developing new water sources, improving treatment, replacing distribution system pipes, and taking other actions. Between FY 1985 and FY 2001, HUD allocated over \$62.8 billion in block grants to non-entitlement and entitlement communities. In FY 2002, allocations totaled more than \$4.3 billion. Entitlement communities spent about 1.7 percent (\$63.7 million) of their FY 2002 block grants on drinking water and wastewater infrastructure improvements, while non-entitlement communities spent about 33.6 percent (\$423.9 million) improving drinking water and wastewater infrastructure.

















[www.hud.gov/offices/cpd/communitydevelopment/programs/index.cfm](http://www.hud.gov/offices/cpd/communitydevelopment/programs/index.cfm)



**Commerce's EDA.** EDA's mission is to "enhance community success in attracting private capital investment and lucrative job opportunities." EDA offers assistance to rural and urban areas where unemployment is high and incomes are low. EDA grants can be used to underwrite the planning and construction costs for projects in these areas that will lead to the creation of jobs in the community. EDA's Public Works Program helps communities that are in economic decline upgrade their physical infrastructure, including drinking water and wastewater facilities. Total obligations for the Public Works Program for FY 2002 were \$249.9 million. From FY 1991 through FY 2000, EDA provided communities with approximately \$1.1 billion in grants for drinking water and wastewater infrastructure projects.

<http://12.39.209.165/xp/EDAPublic/Home/EDAHomePage.xml>

**Figure 4: Comparison of Primary Federal Drinking Water and Wastewater Infrastructure Funding Sources**

	DWSRF	CWSRF	RUS	HUD (CDBGs)	EDA
<b>Drinking Water Funding</b>					
<b>Wastewater Funding</b>					
<b>Grants</b>					
<b>Loans</b>					
<b>Disadvantaged Systems/Communities Only</b>					
<b>Eligible Recipients</b>	Publicly- and Privately-owned Community Water Systems, Non-Profit Non-Community Water Systems	Publicly owned treatment works, non-profit groups, homeowners, & farmers	Public entities, non-profit groups, & federally recognized Indian Tribes	Designated entitlement and non-entitlement communities & insular areas	Rural or urban economically distressed areas
<b>Annual Assistance Provided</b>	\$1.3 billion (SFY 2002)	\$4.4 billion (SFY 2003)	\$2.1 billion (FY 2002)	\$487.6 million (FY 2002)	\$249.9 million (FY 2002)

Federal and state financing programs vary in their funding, their requirements for recipients, their application processes, and their funding schedules. In 1997, EPA, HUD, and USDA issued a joint memorandum on “Cooperation and Coordination on Jointly Financed Water and Wastewater Activities” to encourage cooperation among federal, state, and local drinking water and wastewater infrastructure funding agencies. The memorandum suggested numerous ways to enhance coordination:

- Cooperation between SRF, CDBG, and USDA state programs and directors in the preparation of the consolidated, operating, intended use, and strategic plans required by EPA, HUD, and USDA.
- Elimination of obstacles in program regulation or state policy in order to coordinate funding cycles or share information that would enable these agencies to work together.
- Harmonization of environmental review documentation requirements so that only one environmental document is needed per project.
- Regular meetings by funding agencies to determine which projects should be funded and by whom.
- Joint funding of projects where applicants meet the requirements of all funding agencies (if efficient and reasonable).

Many states have taken steps to implement these approaches, thus enhancing coordination at the state level. In addition, states have opportunities to coordinate funding among state sources. The results of these efforts benefit participating funding agencies and systems in a number of key ways, as outlined in the next section.

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# What are the Benefits of Coordinated Funding?

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## *STATE BENEFITS*

- + Removes barriers and improves communication between agencies with similar goals and purposes.
- + Provides staff with a forum to discuss projects, matches applicants with appropriate funding sources, and resolves conflicts between various funding program requirements.
- + Avoids duplication of work by agencies, thereby reducing administrative burden and maximizing scarce resources.
- + Reduces the likelihood that applicants will switch to another funding source during the process (i.e., venue shopping).
- + Increases the ability to provide technical assistance to applicants from the beginning of the application process to the completion of construction.
- + Reduces administrative expenses.

## *SYSTEM BENEFITS*

- + Allows access to better information about the advantages and disadvantages of all available funding opportunities.
- + Accelerates the entire application process.
- + Increases the likelihood that funding will be secured so that necessary infrastructure improvements will be made, thus improving water quality and public health protection.
- + Creates the most appropriate funding packages for projects that address the community's infrastructure need (e.g., combining loans and grants) in the most efficient way (in terms of costs and timing).
- + Simplifies the application process, reducing the burden on utility staff and freeing more resources for planning and operations.
- + Reduces time spent venue shopping.

It is important to remember that any reduction in administrative burden for state agencies or for systems frees staff time and resources to provide increased public assistance and public health protection. The following section provides a simple way to establish a coordinated funding approach in your state. Where possible, the experiences of states that were surveyed are described.

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# How Can You Get Started?

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No two states and no two funding programs are alike. How you get started will depend on your specific situation. This section presents some general ideas on how to start a coordinating initiative, but there is no one right way to begin. In states like New York, coordination starts in the Governor's office. More likely, coordination will begin as informal collaboration among staff at various agencies. In Arizona, a CDBG program manager organized the first coordination meeting for interested agencies and groups statewide to discuss drinking water and wastewater issues. One of Washington's coordinating committees began when staff from state and federal agencies wanted to discuss shared funding and technical assistance issues. Here are a few ways to get started:



**Identify the various sources of water infrastructure funding in your state,** including federal and local programs. You may already know of programs that are open to cooperation, as well as some that are not. Although the ideal effort might coordinate all funding programs in your state, such a far-reaching goal is often unrealistic, especially at the outset. You can still create significant benefits even if you only coordinate with one other agency. Think about starting with the “low-hanging fruit” to build momentum.



**Determine the formal and informal sources of coordination that may already be in place.** These sources could include recognition of the types of projects that each agency is most suited to fund, or it could be in the relationships that field staff in regional offices have cultivated. Prior to creating their UER, Pennsylvania's infrastructure funding programs had interacted at planning meetings with water utilities. Therefore, regional staff from most of the state agencies already had good working relationships and understood each other's programs.



**Consider a motivating theme for your coordination efforts.** Arizona agencies coordinate because “available technical and financial resources are scarce and should be maximized as much as possible” and “what is good for the community or system should be the driving force.” Washington, Arizona, and California launched coordinated efforts to target small utilities because they generally had the fewest resources, the least awareness of assistance programs, and the most problems with capacity. Programs in New York wanted to provide a single point of contact for systems seeking infrastructure funding. Coordinating to help a specific set of utilities may affect the coordinating tools you use and the partners you seek. Program staff in Montana wanted to work together so that each agency could better achieve its mission.



**Host a meeting with representatives from other agencies** to brainstorm opportunities for additional coordination. These meetings can be informal gatherings of colleagues, such as those held in Montana and Washington, or formal committees, such as the one formed in Pennsylvania. At this stage, open communication between staff from all agencies involved is essential to identifying “problem areas” in the state’s funding network. For example, programs may have different funding cycles or application requirements. The problems identified at this stage will shape the form(s) of coordination that you choose.



**Solicit input from former and potential applicants.** Work with systems to identify the problems they have had, are having, or could have in navigating the available funding opportunities. This initiative may identify problems that applicants face but of which funding agencies are unaware. One of the coordinating committees in Washington continually seeks input from utilities on how funding programs can better assist local governments.



**Decide on an approach.** Using the ideas generated by the agencies and applicants, consider the form that coordinated funding efforts should take and the level of cooperation your state aims to achieve. Every state will have a different strategy. It may be helpful to develop a time line (especially if your strategy calls for a gradual move towards coordination) or an MOU. Arizona decided that the easiest way to increase communication and assistance to systems was to hold monthly joint meetings with project applicants to discuss their proposals. California decided to focus on simplifying the application and documentation process for small systems. New York chose to create a formalized, coordinated application review process to help applicants obtain the optimal funding package for their projects. Pennsylvania began creating a UER to reduce the planning and design overhead for utilities, as well as the confusion and delays caused by discrepancies among programs.

*Communication is the key!*



# What Challenges Should You Consider?

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**C**oordinating drinking water and wastewater funding programs may not be easy, but its benefits can certainly make overcoming these obstacles worthwhile. Potential obstacles include:



**Program Differences.** The objectives of each program, and therefore the eligibility requirements, may be different. Despite common goals among coordinating agencies, it may be difficult or impossible to eliminate all differences in program requirements, funding cycles, etc., due to the specialized mandates and purposes of each agency. Most states surveyed cited differences in program requirements as a barrier to cooperation.

Because of the large number of funding programs, understanding the requirements and the focus of each one is daunting. Before substantial progress can be achieved in coordinating these programs, however, this understanding needs to be developed. It is not expected, and not necessarily desired, that any program should abandon its requirements or change its focus. California decided to accept the differences and work around them. Staff in New York decided to focus on commonalities rather than the differences that could impede the development of a uniform application or a joint tracking database. Staff in Pennsylvania were able to rely on relationships built from years of informal cooperation and communication in creating their UER.



**Lack of Time and Resources.** Coordinating funding among agencies may require significant volunteer efforts by agency staff. For the first ten years of the effort in Montana, Commerce employees made up the coordinated funding committee's entire staff. However, as the efforts expanded, the staffing burden became overwhelming, and the Department of Natural Resources and Conservation and the Department of Health and Environmental Science volunteered to share staffing of the coordinating effort. The committee in Arizona has overcome the lack of resources by relying on volunteerism. One agency has taken the lead in organizing meetings, creating agendas, fielding inquiries, and following up on requests.



**Lack of Staff Interest and Engagement.** Agency staff members involved in coordinated funding efforts will still have responsibilities to their agencies. It may be challenging to keep staff from focusing entirely on their own agency's needs, rather than on the goal of coordinating funding. Forming sub-committees, as was done in Montana, is one way to keep staff members engaged, communicating, and focused on coordination. Any communication and regular contact between staff will help keep coordinated funding a top priority.



# How Can You Overcome the Challenges and Implement Your Approach?

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**T**he presence of any of the challenges discussed in the previous section should not preclude funding coordination. Even states with successful coordinated funding programs have faced obstacles and are still working to overcome them. Focusing on the needs of the communities should help agency representatives overcome hurdles.

This section provides some ideas on how to think about overcoming challenges and implementing a coordinated funding strategy. You may find that some – or all – may work in your state.



**Identify available resources** in terms of staff, budget, materials, and partnerships with water industry organizations. In Montana and Washington, staff from the funding programs have volunteered to implement their approach. Programs trade off on hosting the meetings, preparing the agendas, and keeping the minutes. Montana convinced the state's engineering community to promote and support the coordinated application process in the state. Utilities are more likely to participate when their consultants and technical assistance providers urge them to attend state workshops and meetings. California's efforts benefit from the support of the California Rural Water Association and the Rural Community Assistance Corporation.



**Divide duties for your implementation strategy among participating parties**, either informally through verbal agreements, as in Washington and Pennsylvania, or formally through an MOU, as in Arizona, Montana, and New York. Delegated duties may range from developing a joint application or environmental review package to organizing workshops and funding fairs. While some duties may require the input of all participating agencies, others will not. Consider forming sub-committees to address each duty. Before forming sub-committees, Montana found that volunteer members were not working on common problems between meetings, which slowed progress. Subcommittees can ensure that:

- Work takes place between formal meetings.
- All agencies remain involved and focused on coordinating funding.
- No single agency's staff is forced to do all of the work.



**Allow some room for differences in programs.** As part of their coordinating effort, agencies in California identified the differences in their programs so they could more clearly communicate those differences to applicants early in the process. Montana found that the best way to proceed with coordination was to focus on similarities rather than the differences. This “common ground” eventually allowed Montana to create a uniform application. In New York and Pennsylvania, each agency retains independent decision-making authority to fund projects based upon its mission. If your coordinating team is flexible, your programs may harmonize over time as coordination increases. New York’s committee is now trying to minimize the differences between programs. Montana’s Uniform Application Supplement has evolved to the point where the state will soon drop the word “Supplement” from the title and allow programs to ask systems for materials to supplement the “Uniform Application.”



**Maintain communication among the participating agencies.** The partners in Arizona’s and New York’s coordinating programs meet quarterly to discuss current projects and anticipate future joint efforts. Pennsylvania’s agencies informally solicit input from each other prior to approving a funding request.



**Initiate buy-in and education efforts for all interested parties.** In addition to water utilities, you may include the legislature, agency administrators, and the public. Education for systems could include:

- ***Holding workshops, funding fairs, or meetings for local governments and system operators seeking financial assistance.*** Arizona hosts monthly meetings throughout the state that allow utilities seeking funding to discuss assistance options with all funding programs at once. California hosts funding fairs across the state that bring all the funding programs “under one tent.” Montana holds workshops in the spring and fall of each year, varying the topics to match the funding cycles.
- ***Creating a website to provide information on funding to communities and systems.*** Washington has created a searchable database of funding sources that is now available through a website. New York’s committee created a website with a self-assessment tool that allows utilities to determine the sources of funding for which they are eligible.
- ***Providing funding assistance materials directly to systems.*** Montana’s committee developed an outreach video that it sends to local government officials who are interested in finding water infrastructure assistance. One committee in Washington created an *Infrastructure Assistance Directory* for local governments.



In addition, each participating agency should promote the coordinated funding effort as part of its normal outreach program. This can increase awareness of coordinated funding in your state with very little additional cost or effort. Staff members from partner agencies in Arizona, California, New York, Pennsylvania, and Washington discuss the coordination initiative at all meetings, conferences, trainings, and public appearances. In addition, several states have worked with industry groups to get the word out to utilities. Montana uses annual meetings of organizations such as Montana Rural Water Systems, Inc., Montana League of Cities and Towns, and the Montana Association of Counties to publicize its coordinated funding efforts. Similarly, New York uses county planners, the Rural Community Assistance Program, and New York Rural Water Association to inform communities of coordinated funding opportunities.

Keep in mind that coordinated funding is not intended to remove the entire burden on applicants. Applicants are still responsible for assessing their own needs and securing financing.



**Choose projects that would benefit most from multi-agency assistance and cooperation**, and match these projects with the funding sources in your state best suited to fund them. At their meetings with systems, Arizona agencies informally agree on which agency should fund each project. One of the committees in Washington uses a two-page screening application to determine the most appropriate source(s) of funding. A state could decide to consolidate project lists so that all programs work together to address systems in order of priority.



**Track your results** so that you can publicize your program's success. New York created a common tracking database for all projects that go through the coordinated funding process. Arizona gives annual awards to the best project, garnering positive publicity for both the funding programs and the utility. You may want to promote the success of your initiative with water utilities, state decision-makers (such as legislators), and federal agencies.

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# How Can You Assess Your Efforts?

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**A**s you work to increase coordination, you will discover unexpected opportunities and challenges. Your successful efforts may make reluctant programs more likely to agree to coordinate. Your coordination tools may need some fine-tuning. How you assess and modify your efforts will depend on your strategy, your partners, and your experiences. This section provides a few ideas on how to assess your initiative.



**Conduct exit interviews or evaluations** with applicants that have been through the coordinated funding process. These interviews can help you identify your program's strengths and weaknesses. Are utilities finding the process easier to understand and less burdensome to complete? Are projects being completed more quickly? Are staff in funding programs saving time?



**Host an evaluation meeting with participating agencies** after the first few months of coordination to discuss progress and identify any barriers. Continued communication between agencies is essential to successful coordination. Did your coordinated efforts work as you had imagined? What were the barriers? How should the initiative be changed?



**Hold regular meetings of participating agencies** to ensure that the process is functioning smoothly and to identify new opportunities for coordination. You may decide to change your initiative or increase coordination. As noted earlier, agencies in Arizona and New York meet quarterly to review projects and discuss new coordination issues. The Montana committee has been meeting regularly to develop a common initial application, a mutually acceptable method for determining hardship, and a uniform environmental review document.



**Follow developments in other states' coordinated funding programs** to get new ideas that may benefit your own program. For example, Montana has created an outreach video that California is considering adopting.

*COORDINATION IS AN ON-GOING  
PROCESS*

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# Appendix A: State Profiles and Survey Responses

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**A**ppendix A presents profiles of the coordinated funding approaches in Arizona, California, Montana, New York, Pennsylvania, and Washington and their responses to brief surveys about their approaches. While a survey was sent to each state's DWSRF contact, each respondent was asked to consult with, and incorporate the views of, their funding partners. The responses to these surveys were used to better understand how each state's coordinated funding program operates and, more broadly, to identify patterns and common themes in coordinated funding efforts.

The experiences of these six states, as discussed throughout this handbook, highlight the diverse forms that coordinated funding can take and the benefits that can result. These states are continually working to improve their ability to help water and wastewater systems address their infrastructure needs.

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Arizona's Rural Water Infrastructure Committee (RwIC) is composed of representatives from various infrastructure loan and grant programs, state lending authorities, technical assistance providers, private banks, and engineering firms. It was initiated by Arizona's CDBG Manager in 1990 to help small drinking water and wastewater systems navigate the federal, state, and local assistance programs and comply with all applicable regulations. It has evolved into a "one-stop shopping" entity for communities and small water systems in need of assistance.

RwIC's goals are to:

- Maximize the scarce resources available for infrastructure financing.
- Focus on communities and systems, rather than on competing state and federal bureaucracies.
- Provide "cradle to grave" assistance to projects, especially for small, rural systems that do not have the resources to complete all the steps necessary to finance an infrastructure project.

With no governing statute or executive order, RwIC has considerable flexibility to deal with the needs of each system. Owners and operators looking for infrastructure funding have all of their questions answered at monthly RwIC meetings. Since RwIC provides both financial and technical assistance, it is not uncommon for RwIC meetings to be followed up by on-site technical assistance visits and reviews of existing design plans. The meetings also allow system representatives and elected officials to meet with representatives of public and private funding sources to explore all available funding options for their infrastructure projects.

RwIC has increased cooperation across various governmental agencies. It is now commonplace for officials at one agency to coordinate with their counterparts in another agency to aid a system. Agencies that run state funding programs also routinely publicize other funding programs during their normal outreach efforts. In addition, the Water Infrastructure Finance Authority of Arizona (WIFA) – one of the main sources of infrastructure funding in the state – annually highlights utilities that have successfully coordinated funding sources to improve their infrastructure. These profiles generate positive publicity for the systems and RwIC. RwIC has assisted approximately 200 systems in Arizona. Two-thirds of their projects have been completed. In addition, RwIC's approach has expedited assistance and funding for projects, even when only one agency is involved.

## ARIZONA PARTNERS

### *Regular members of RwIC:*

- *Water Infrastructure Finance Authority*
- *Rural Development, USDA*
- *Arizona Small Utilities Association*
- *Rural Community Assistance Corporation*
- *Arizona State Environmental Training and Technology Center*
- *Greater Arizona Development Authority*
- *Arizona Department of Environmental Quality*
- *Arizona Department of Commerce, CDBG Program*
- *Arizona Department of Water Resources*
- *Border Environment Cooperation Commission*
- *North American Development Bank*

*Website:* [www.commerce.state.az.us/gada/ric.html](http://www.commerce.state.az.us/gada/ric.html)

## ARIZONA'S COORDINATED FUNDING SURVEY

### Getting Started

**Q: Who initiated/spearheaded the process for establishing the coordinated funding approach in your state?**

A: A CDBG Manager in the Arizona Department of Commerce first started RwIC meetings in 1990 to discuss drinking water and wastewater issues among various interested agencies and groups state-wide. Around 1996, senior staff from WIFA and from the Arizona USDA RD suggested ways for the group to hold project meetings to implement technical and financial infrastructure assistance for eligible jurisdictions and systems. The RwIC process has expanded from this initial concept.

**Q: What was the rationale behind establishing the approach (e.g., decision to focus on rural systems, decision to do a uniform environmental review versus a uniform application, etc.)?**

A: The rationale behind RwIC continues to be multifaceted:

- There is the recognition that available technical and financial resources are scarce and should be maximized as much as possible.
- We also recognize that what is “good for the community or system” should be the driving force, rather than competition among federal, state, and local bureaucracies.
- Another important consideration for coordination is the concept of “cradle to grave” assistance for projects. We found that many small, rural systems do not have the resources to prepare to receive funding in terms of system analysis, planning, and design, to name a few.

By offering technical assistance as well as financial assistance, RwIC has fostered many infrastructure projects that might otherwise never have become ready for funding and construction.

**Q: Please identify any significant milestones you achieved during the process of establishing your coordinated funding approach.**

A: Our projects have had an estimated 66% success rate! The RwIC has become a highly effective force in shepherding drinking water and wastewater infrastructure projects to completion. In reviewing our records, members of RwIC were surprised to note that two-thirds of the 150 to 200+ projects reviewed were funded and completed. This process sometimes takes about three years from conception to completion for a major project. Often, a community will return for consultation with RwIC several times before a project is completed. For example, they may seek technical assistance and funding for planning and, when that is completed, return for financial assistance for the project itself.

**Q: What specific challenges/obstacles did your state face in establishing its coordinated funding approach and how did your state overcome them?**

A: Since RwIC is informal and not funded, one of the problems and challenges is how to get the paper work of RwIC accomplished. Our solution is volunteerism. From time to time, RwIC was staffed by various individuals in participating agencies. Currently this is being handled by the Arizona Small Utilities Association. They organize project meetings, send out agendas, field inquiries, and follow-up on many requests. Because the work of the association is closely affiliated with that of RwIC, this arrangement works well. One other challenge we have is how to interest more private water systems in using RwIC as a resource. We believe it is not the RwIC process itself that discourages participation, but the fact that there is really only one source of low-cost funding – WIFA. Here, coordinated funding is usually not required.

**ARIZONA'S COORDINATED FUNDING SURVEY (CONT'D)****Implementing the Approach**

**Q: *How does your state handle differences in program requirements and priorities among the various funding sources?***

A: It is not that much of an issue in Arizona, and not many program requirements are jointly handled by a procedure. Each project is handled on a case-by-case basis at RwIC project meetings. Our philosophy of “What is best for the community” rules. We also have another rule, which is “If you can qualify for a grant, go for it.” When a project will ultimately be funded by RD because that is the best course of action for the community (regardless of whether or not WIFA or other funding is involved), then RD program requirements are the primary concern up-front. WIFA and RD have a Memorandum of Understanding regarding environmental reviews (ERs). WIFA accepts RD’s ER whenever there is a joint financing. As far as priorities are concerned, WIFA and RD hold quarterly meetings to review current projects and anticipate joint efforts. Otherwise, participation in RwIC project meetings often establishes, on an informal basis, which agency(ies) may fund what projects.

**Q: *How does your state make the public aware of its coordinated funding efforts? Public meetings, funding fairs, websites, newsletters?***

A: All of the above and by every means available to its primary members. RwIC members routinely advertise RwIC in their individual agency outreach efforts. Additional methods include Powerpoint presentations, special events, publications, and networking.

**Assessing the Approach**

**Q: *How many potential funding applicants do you think you reach every year through the coordinated funding approach?***

A: We have room for 4-5 project presentations per monthly project meeting. Sometimes a month is skipped. Therefore, we handle 40-50 projects per year. Not all require coordinated funding. Approximately 10 to 20 percent end up with coordinated technical or financial assistance and/or funding. Applicants appreciate the expedited assistance and funding they receive through our RwIC process.

**Q: *Do you believe that the coordinated funding approach in your state has been effective at getting projects funded and why?***

A: The RwIC has been extremely successful in expediting projects, not just coordinating funding. The “One Stop Shopping” approach is effective and efficient. Most public jurisdictions are now familiar with how RwIC works. We also make it a practice to hold our meetings throughout the regions and be available to applicants in more remote locations.

**Q: *Is your state considering any improvements/enhancements to its approach?***

A: We are open to improvements/enhancements. No improvements are underway at this time, however, there is interest in pursuing joint environmental reviews more formally.

**Q: *What changes at the federal level do you think would help to enhance coordination?***

A: Federal acceptance and endorsement at top levels by EPA (SRFs), HUD, and RD to foster state solutions to interagency infrastructure funding coordination would be appreciated. This objective is currently being pursued through the Council of Infrastructure Financing Authorities Small Community Water Infrastructure Exchange group headed up by Ohio’s Steve Grossman.

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The California Financing Coordinating Committee (CFCC) was created in 1998 by an MOU signed by state and federal agencies that provide financial assistance for infrastructure projects in California. The CFCC is a formal committee that aims to:

- Foster cooperation between agencies.
- Encourage more efficient use of funds.
- Reduce administrative costs for recipients and agencies.
- Provide a forum to resolve conflicts between state and federal program requirements.

Small, rural systems have the fewest resources and face the most problems, so the CFCC was created mainly to help these systems obtain assistance. Subsequently, these systems were targeted for simplified forms and application processes to help them overcome the often difficult and expensive task of applying for funding.

The CFCC uses a variety of tools to meet its goals. It has a common funding inquiry form that a system can fill out to have its proposed project referred to the appropriate funding agency. The CFCC sponsors funding fairs at which agencies explain their programs and make themselves available to discuss specific plans; it also advertises at meetings held by individual member agencies. The CFCC's Website has information about each agency's programs and documents explaining what joint procedures are in place. The CFCC is considering creating a technical assistance video, similar to videos produced in other states, to further its goals.

One of the biggest obstacles confronting the CFCC is the different requirements of the funding agencies. To minimize possible confusion, the CFCC provides applicants with as much information as possible about the requirements and priorities of the different programs. When the statutes and regulations allow, the CFCC tries to find common ground between the programs.

The CFCC annually assists an estimated 200 to 500 applicants. The CFCC attributes this success to matching project funding to specific applicant needs and providing additional technical assistance to small, rural systems.

## CALIFORNIA PARTNERS

*CFCC members represent:*

- *USDA RUS's Water Division*
- *State Water Resources Control Board*
- *California Department of Health Services*
- *California Department of Housing and Community Development*
- *California Department of Water Resources*
- *Infrastructure and Economic Development Bank*

**Website:** [www.cfcc.ca.gov](http://www.cfcc.ca.gov)

## CALIFORNIA'S COORDINATED FUNDING SURVEY

### Getting Started

**Q: Who initiated/spearheaded the process for establishing the coordinated funding approach in your state?**

A: It was either HUD or USDA's RD.

**Q: What was the rationale behind establishing the approach (e.g., decision to focus on rural systems, decision to do a uniform environmental review versus a uniform application, etc.)?**

A: It was felt that the small, rural projects were the ones with the fewest resources and most problems. These systems needed simplified forms and application processes, as they would be frightened off if things were too complicated, difficult, or expensive.

**Q: Please identify any significant milestones you achieved during the process of establishing your coordinated funding approach.**

A: Probably the most significant would be the establishment of the Funding Fairs.

**Q: What specific challenges/obstacles did your state face in establishing its coordinated funding approach and how did your state overcome them?**

A: The biggest obstacle was the different requirements for the various agencies. These were not so much overcome as simply recognized and eventually accepted.

### Implementing the Approach

**Q: How does your state handle differences in program requirements and priorities among the various funding sources?**

A: If there are differences in program requirements, then we acknowledge these and try to let the applicants know of the differences up front. Where there are different priorities, we once again acknowledge them but may try to reach a compromise if it is within the statutes, regulations, or guidelines. But in general, where there are conflicting requirements or priorities, each funding agency must follow its own requirements.

**Q: How does your state make the public aware of its coordinated funding efforts? Public meetings, funding fairs, websites, newsletters?**

A: Funding Fairs are one of our main outreach/marketing methods. We also have been upgrading our web page; see: <http://www.cfcc.ca.gov>.

Discussing the CFCC at other meetings is also an excellent way of advertising with the systems. There is now a pretty extensive network throughout the state that discusses the CFCC and advertises their meetings and Website; groups such as the California Rural Water Association and the Rural Community Assistance Corporation are big proponents of the CFCC.

### Assessing the Approach

**Q: How many potential funding applicants do you think you reach every year through the coordinated funding approach?**

A: We estimate that the CFCC reaches 200–500 potential applicants each year.

**CALIFORNIA'S COORDINATED FUNDING SURVEY (CONT'D)**

**Q: *Do you believe that the coordinated funding approach in your state has been effective at getting projects funded and why?***

A: Yes, it has been successful, mainly because we are able to “fit” project funding to specific applicants and their needs. The “co-funding” of projects also includes additional technical assistance to the smaller rural projects.

**Q: *Is your state considering any improvements/enhancements to its approach?***

A: We continue to make changes. We are considering doing a video similar to the one produced by Montana.

**Q: *What changes at the federal level do you think would help to enhance coordination?***

A: The major need is to place the same requirements on each of the agencies that provide federal subsidized funding. USDA, HUD, and EPA should all apply funding requirements in the same manner (National Environmental Policy Act, Endangered Species Act, Minority-owned Business Enterprise/Woman-owned Business Enterprise, etc.).

It would also be helpful if those same agencies would allow more flexibility for providing funding for small, rural communities.

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In 1982, an employee of the Montana Department of Commerce began to organize professionals in key state agencies into a group that would focus on drinking water and wastewater financing. The result of this initiative was the Water, Wastewater and Solid Waste Action Coordinating Team (W<sub>2</sub>ASACT). The main goals of this group were to coordinate emerging state funding programs, help local governments take full advantage of those programs, and facilitate communication between program staff. Given the large geographical area that needed to be covered, increasing communication among agencies, especially at the regional office level, was paramount. W<sub>2</sub>ASACT was also intended to serve as a forum through which federal program representatives could talk about their various projects. W<sub>2</sub>ASACT has no legislative mandate or executive order and receives no funding for staff. Its membership is composed of representatives from state, federal, and non-governmental agencies with a stake in infrastructure assistance.

In 1997, W<sub>2</sub>ASACT finalized a uniform application supplement for infrastructure funding programs. It was prompted by the MOU between RUS, EPA, and HUD declaring that uniform applications were acceptable and valuable to local governments. The supplement contains core technical information common to all infrastructure funding program applications, including a project summary, proposed funding package, budget, system information, and a preliminary engineering report. Entities seeking funding still must fill out specific applications for certain programs, but the uniform application supplement has reduced the overall burden of applying for funds.

W<sub>2</sub>ASACT also created Project Planning Grants to assist cash-strapped communities. These grants, matched dollar-for-dollar by local governments, assist communities in hiring engineers and other technical assistance providers. Many communities in need of infrastructure improvements do not have enough money to assess their needs and plan a major project. The Project Planning Grants address this problem and enable communities to apply for grants and loans to improve their infrastructure. Thanks to the uniform application supplement, nearly all drinking water and wastewater infrastructure projects in Montana are using the coordinated approach.

## MONTANA PARTNERS

W<sub>2</sub>ASACT members include:

- *Bureau of Reclamation*
- *HUD - Montana Field Office Helena*
- *Department of Commerce - EDA*
- *EPA*
- *Rural Development, RUS*
- *Midwest Assistance Program*
- *Montana Assoc. of County Water and Sewer Systems*
- *Montana Association of Counties*
- *Montana League of Cities and Towns*
- *Montana Rural Development Partners*
- *Montana Rural Water Systems, Inc.*
- *CDBG*
- *Community Technical Assistance Program*
- *Public Water Supply Section*
- *INTERCAP Program*
- *Local Government Center*
- *Local Government Services Bureau*
- *Montana Water Center*
- *Municipal Wastewater Assistance Program*
- *Renewable Resources Grant and Loan Program*
- *Community Services Bureau*
- *State Drinking Water Revolving Fund*
- *State Wastewater Revolving Fund*
- *Treasure State Endowment Program*
- *Technical and Financial Assistance Bureau*

Website: [www.dnrc.state.mt.us/cardd/wasact.html](http://www.dnrc.state.mt.us/cardd/wasact.html)

W<sub>2</sub>ASACT has also streamlined accounting, environmental assessments, and supplemental contracts. Its Website has a master list of projects to help facilitate the tracking of resources and projects. In addition, W<sub>2</sub>ASACT publishes technical assistance manuals, distributes a technical assistance video, and holds workshops throughout the state. These workshops provide technical assistance to local governments as well as information on where to find additional technical, financial, regulatory, and managerial assistance.

W<sub>2</sub>ASACT also operates as an “advisory body” for legislative change. It works to identify opportunities for state policy changes, including metering all users, providing more money for preliminary assessments, creating more regional systems, and improving coordination between programs through statutory changes. Some of the suggested statutory reforms have reduced the redundancy of programs and eliminated the contradictions in requirements between programs. W<sub>2</sub>ASACT acts as an intermediary between different organizations if problems arise or if projects are delayed by procedural hurdles.

Currently, W<sub>2</sub>ASACT conducts much of its business through the following subcommittees:

- Tribal Interests
- Accounting Assistance
- Project Administration Coordination
- Technical Assistance
- Internet Website
- W<sub>2</sub>ASACT Video
- Standard Documents
- Environmental

## MONTANA'S COORDINATED FUNDING SURVEY

### Getting Started

**Q: *Who initiated/spearheaded the process for establishing the coordinated funding approach in your state?***

A: The Department of Commerce initiated the concept of W<sub>2</sub>ASACT in 1982. At that time, the Legislature had created the Water Development Program (WDP) in the Department of Natural Resources and Conservation. WDP initiated both a grant program and a loan program that would finance drinking water and wastewater infrastructure projects. The Farm Home Administration was also a key funding source for rural communities. In addition, the Department of Health and Environmental Sciences had the Construction Grants Program, funded by EPA, which also provided regulatory oversight for communities. Staff level professionals agreed that by working together, every program could better achieve its goals.

Rather than establish a formal group under an executive order or through legislation, it was the program staff that committed to working together. By taking a “low key” approach, programs were not threatened by the coordination process. Instead, staff professionals who had been “stepping on each other’s toes” on specific projects saw the opportunity to work together and coordinate their activities.

**Q: *What was the rationale behind establishing the approach (e.g., decision to focus on rural systems, decision to do a uniform environmental review versus a uniform application, etc.)?***

A: Initially, the motivation was simply to communicate. Montana is a large state with few residents. Separately, the financial resources available were insufficient for many projects to proceed. By working together, the staff realized their programs could bring success to projects that had been languishing.

**Q: *Please identify any significant milestones you achieved during the process of establishing your coordinated funding approach.***

A: The most significant changes to W<sub>2</sub>ASACT occurred in the early 1990s. By this time the W<sub>2</sub>ASACT group had grown to include new programs and technical assistance providers. However the Department of Commerce and their staff still bore the entire burden of hosting the coordinating meetings, preparing the agendas, and keeping track of the minutes. In 1994, the agencies from the Department of Commerce, Department of Natural Resources and Conservation, and the DHES volunteered to share the burden of coordinating W<sub>2</sub>ASACT. A new, enthusiastic, and organized chair, Barb Neuworth, was appointed from DHES. Additionally, the group agreed to form subcommittees to work on specific issues between the bi-monthly meetings. Without staff for the program, W<sub>2</sub>ASACT members were not working on common problems between meetings, which slowed progress. The subcommittees decided to become more organized and began to seriously discuss common funding applications.

**Q: *What specific challenges/obstacles did your state face in establishing its coordinated funding approach and how did your state overcome them?***

A: The biggest challenge was keeping program staff focused on coordination as opposed to returning to their agency and business as usual for the 2 months between meetings. As mentioned above, the formation of subcommittees and assigning specific tasks to be accomplished between meetings was the key to success.



## **MONTANA'S COORDINATED FUNDING SURVEY (CONT'D)**

### **Implementing the Approach**

**Q: *How does your state handle differences in program requirements and priorities among the various funding sources?***

A: We handle differences from the bottom up. Rather than trying to change national or state policy, the first thing we have tried to do is identify what we have in common. Focusing on similarities, not differences, has been key. We all fund infrastructure projects, we all request funding information from applicants, and we all require engineering and environmental reports.

The best example of this is the Uniform Application Supplement. Notice the word “Supplement”; initially, that is how we saw the project. Agencies would have their application and then it would be supplemented by the “uniform” information. In practice this has reversed itself. Applicants fill out the Uniform Application Supplement and then submit specific program information to add to the common engineering, environmental, and financial information contained in the Uniform Application Supplement. Most programs refer to the document as the Uniform Application and W<sub>2</sub>ASACT will eventually drop “Supplement” from the name. For the SRF programs, the Uniform Application Supplement is the loan application.

**Q: *How does your state make the public aware of its coordinated funding efforts? Public meetings, funding fairs, websites, newsletters?***

A: W<sub>2</sub>ASACT holds workshops in the spring and fall of each year. Workshop topics vary according to program funding cycles. For example, we may focus on how to hire an engineer in the fall and on how to fill out the Uniform Application Supplement in the spring. These meetings are advertised through direct mail to local governments throughout the state. Also, the engineering community has identified these as key meetings for their clients and for the firms themselves. W<sub>2</sub>ASACT workshops are highly attended because that is where you want to start when you seek state and federal financial assistance for infrastructure improvement projects. Annual meetings of organizations like Montana Rural Water Systems, Inc., Montana League of Cities and Towns, and Montana Association of Counties are another way that W<sub>2</sub>ASACT agencies get the word out.

Three years ago, W<sub>2</sub>ASACT agencies funded the development of a video aimed at local government officials trying to get started on funding needed infrastructure improvements. The video is made available at all workshops and meetings, and we have sent many out to local governments and engineering firms.

W<sub>2</sub>ASACT also has a Webpage and, in the upcoming year, we hope to make this page easier to find and to improve the information that is available. Project tracking lists, lists of agencies and links, and a description of W<sub>2</sub>ASACT are the basics of the Website today. In the near future, we hope to have more interactive “PowerPoint” type presentations and more technical assistance opportunities available.



**MONTANA'S COORDINATED FUNDING SURVEY (CONT'D)****Assessing the Approach**

**Q: *How many potential funding applicants do you think you reach every year through the coordinated funding approach?***

A: By adoption of the Uniform Application Supplement by all W<sub>2</sub>ASACT agencies, nearly all drinking water and wastewater infrastructure projects are using the coordinated approach in Montana. The exceptions are the smaller and simpler projects that may need only one grant or loan source. The vast majority of projects require multiple funding sources, and the Uniform Application Supplement makes applying to more than one program much easier. Therefore, most applicants share the same financial, project, and environmental information with the key financial providers.

**Q: *Do you believe that the coordinated funding approach in your state has been effective at getting projects funded and why?***

A: Yes. The key was the Uniform Application Supplement. In the past, local governments may have had to fill out as many as five different applications that often asked for the same, or similar, information. This made the entire process inefficient for the local governments. Today, the Uniform Application Supplement greatly reduces the cost of applying for financial assistance.

Another key step was the institution of Project Planning Grants. W<sub>2</sub>ASACT identified the lack of grant funds to assist local governments in paying for professional engineering as a key obstacle to addressing need. Mayors and council members were reluctant to take limited cash balances and hire engineers. Often rates were kept so low that the utility did not have the money to pay for an engineer. By funding Project Planning Grants, matched dollar-for-dollar by local governments, communities have received engineering and technical assistance to identify system problems, develop alternative solutions, discuss environmental impacts, and identify funding sources. Over 100 planning grants were given to local governments in the last year. Many of these have resulted in grant and loan applications for construction.

**Q: *Is your state considering any improvements/enhancements to its approach?***

A: Yes, constantly. W<sub>2</sub>ASACT is working on a common supplement to the Montana Bid Specifications to give engineers and contractors a single target concerning the financial requirements associated with the bid specs. W<sub>2</sub>ASACT is working on improving its Website, and a subcommittee is working on common environmental review procedures.

**Q: *What changes at the federal level do you think would help to enhance coordination?***

A: Most importantly, true commitment by HUD, EPA, and Rural Development. W<sub>2</sub>ASACT-type agencies are where the “rubber meets the road.” We can accomplish a lot at that level. If agencies at a national level would get excited about working together, not by forming new policies or legislation, but by meeting and working on drinking water and wastewater together like state coordinating groups, there could be great progress. Communication is the key to coordination. Oh, more money would help too.

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On February 18, 2002, Governor George Pataki announced the creation of the Water and Sewer Infrastructure Co-funding Initiative to improve water infrastructure through enhanced state and local government partnerships. The Initiative's main goal is to streamline and expedite the funding process by helping communities locate sources and procure funding for their infrastructure improvement projects. The Initiative hopes to become the central source and single contact for systems wishing to obtain information on and assistance with the application process. To this end, the Initiative maintains a Website that has information on the funding programs available to communities, a self-assessment tool for communities to determine their eligibility for each program, and instructions on how to apply for funding.

The Initiative includes a steering committee and various subcommittees composed of staff from each funding agency. The steering committee meets bi-monthly to review overall progress, determine courses of action, and hear status reports from the subcommittees. Sub-committees address the development of specific areas, such as:

- Establishing procedures for the joint review of applications for co-funding.
- Exploring the development of a joint application.
- Developing a common initial application for the SRFs and the Rural Development Grant Program.
- Developing shared databases.

The Initiative was formalized in an MOU signed by New York's Department of Health, Department of State, Environmental Facilities Corporation, Governor's Office for Small Cities, Department of Environmental Conservation, and USDA's Rural Development Office. The MOU recognizes the common goal of these organizations – funding drinking water and wastewater infrastructure projects – and outlines ways for the organizations to work together. In addition, the Initiative actively informs communities about available funding sources through workshops and brochures. New York has created the position of Co-funding Coordinator to administer its coordinated funding initiatives. It is estimated that representatives from more than 1,000 communities have heard about the Co-funding Initiative.

## NEW YORK PARTNERS

*Members of the Co-funding Initiative represent:*

- CWSRF
- CWSRF Hardship Assistance
- DWSRF
- DWSRF Hardship Assistance
- Appalachian Regional Commission Area Development Program
- Small Cities CDBG
- RUS Water and Wastewater Disposal Loan and Grant Program
- Clean Water/Clean Air Bond Act

*Website:* [www.nycofunding.org](http://www.nycofunding.org)

## NEW YORK'S COORDINATED FUNDING SURVEY

### Getting Started

**Q: *Who initiated/spearheaded the process for establishing the coordinated funding approach in your state?***

A: The Co-funding Initiative was created under the direction of Governor Pataki in response to his Quality Communities Task Force Report, which called for streamlining environmental infrastructure funding processes. The initiative is a collaborative inter-agency effort between the New York State Environmental Facilities Corporation, State Department of Health, Governor's Office for Small Cities, Department of State, State Department of Environmental Conservation, and the U.S. Department of Agriculture's Rural Development, Rural Utilities Services.

**Q: *What was the rationale behind establishing the approach (e.g., decision to focus on rural systems, decision to do a uniform environmental review versus a uniform application, etc.)?***

A: The rationale behind establishing the Co-funding Initiative was to provide a central source and single contact for obtaining information on and assistance with the application processes. The Initiative was also formed to formalize a coordinated application review process to help applicants obtain the maximum funding package for their projects.

**Q: *Please identify any significant milestones you achieved during the process of establishing your coordinated funding approach.***

A: Milestones include the creation of the following:

- Memorandum of Understanding between Co-funding agencies.
- Co-funding Website that features a self-assessment tool to determine which funding programs a project may be eligible for.
- Co-funding brochure.
- Co-funding workshop that includes a Powerpoint presentation.
- Database of project information.
- Co-funding Coordinator title.

**Q: *What specific challenges/obstacles did your state face in establishing its coordinated funding approach and how did your state overcome them?***

A: The Co-funding Initiative continues to develop. Specific challenges that we have encountered to date include:

- Working with the specific requirements of each funding program. The Co-funding Steering Committee is working on identifying common requirements and flexibilities with different requirements.
- Developing a database of project information that all co-funding partners can use. A subcommittee was formed to develop database tools, and progress is ongoing.
- Individual funding application. A subcommittee was formed to explore the feasibility of developing a single funding application. The subcommittee is working on an initial common application between two funding programs, the State Revolving Funds and the Federal Rural Development Water/Wastewater Grant Program, which will be submitted prior to the community submitting a full application.

## NEW YORK'S COORDINATED FUNDING SURVEY (CONT'D)

### Implementing the Approach

**Q: How does your state handle differences in program requirements and priorities among the various funding sources?**

A: As stated in the MOU, each program retains separate and independent decision-making functions for determining the projects that it funds. Program requirement differences are being reviewed by various subcommittees, and ideas on minimizing these differences are being discussed. Regarding priorities, the Project Review Sub-committee meets on a quarterly basis to discuss applicants and issues, such as readiness for construction and environmental review status, that could impact the project's priority as viewed by each agency.

**Q: How does your state make the public aware of its coordinated funding efforts? Public meetings, funding fairs, websites, newsletters?**

A: • Agency staff members regularly give Co-funding presentations and participate in panel discussions at a variety of conferences and training programs around the state.  
 • The Co-funding Website at [www.nycofunding.org](http://www.nycofunding.org).  
 • Other service providers such as county planners, the Rural Community Assistance Program, and New York Rural Water Association help make communities aware of this initiative.  
 • A Co-funding brochure distributed at conferences and included in mailings.  
 • A press release issued by the Governor announcing the Initiative.

### Assessing the Approach

**Q: How many potential funding applicants do you think you reach every year through the coordinated funding approach?**

A: Through various outreach efforts previously noted, it is estimated that representatives from more than 1,000 communities have heard about the Co-funding Initiative. Since the announcement of the Co-funding Initiative a year ago, 30 communities have sought funding through the Co-funding Initiative.

**Q: Do you believe that the coordinated funding approach in your state has been effective at getting projects funded and why?**

A: New York State has been effectively co-funding projects informally for many years. It is expected that by formalizing such activities through the Co-funding Initiative, more communities will be aware of co-funding and even more projects will be co-funded. This formalized approach is relatively new and, for the most part, developing according to expectations.

**Q: Is your state considering any improvements/enhancements to its approach?**

A: The Co-funding Initiative remains an on-going effort, and it is expected that new developments will continue to be incorporated. We are exploring the feasibility of developing a single Co-funding application for all funding programs. In the meantime, we are working on developing a common initial application between the State Revolving Fund and the federal Rural Development funding programs. We are also working on developing a mutually acceptable method for determining hardship and on creating a single environmental review document for all funding programs.

## NEW YORK'S COORDINATED FUNDING SURVEY (CONT'D)

**Q: *What changes at the federal level do you think would help to enhance coordination?***

A: We are currently reviewing the program requirements of the various agencies in an effort to identify specific areas where changes at the federal level would simplify the overall application process. Coordinated programmatic processes between the federal funding agencies, common requirements, or flexibility in program requirements, (such as accepting requirements already met for other funding program applications), would be extremely helpful in simplifying and streamlining the process.



The Uniform Environmental Review (UER) process, initiated by the local RUS office, was finalized in July 2001. It standardizes the process for documenting the environmental effects of proposed drinking water and wastewater infrastructure projects that seek financial assistance from state or federal funding sources in Pennsylvania. It was designed to complement existing planning and permitting programs by streamlining environmental reviews and avoiding duplication of work by multiple agencies. The UER will also reduce delays and confusion caused by discrepancies between various programs' requirements.

Prior to the UER, PENNVEST (Pennsylvania Infrastructure Investment Authority) had been informally coordinating with the Pennsylvania Department of Environmental Protection (DEP), local planning officials, and other funding sources. In addition, PENNVEST staff met with staff from RUS, CDBG, and other funding agencies to help ensure the success of various water, sewer, and stormwater projects throughout the state. The UER grew out of that existing cooperation. It is expected that each UER will be prepared to satisfy all technical documentation required by the DEP for permit or planning approval. This may include Preliminary Engineering Reports or Planning and Feasibility Studies. A UER should include:

- Project description and need.
- Summary of alternatives considered.
- Environmental consequences of the selected alternative.
- Summary of mitigation.
- Evidence of public participation.
- Any related exhibits.

Applicants for funding are encouraged to coordinate efforts with the DEP and relevant funding agencies before project planning begins.

At the outset, the UER process experienced some turf battles. However, these were quickly overcome as agencies reconciled the various requirements of their programs. An official from PENNVEST attributed the agencies' ability to overcome their differences to the relationships that had previously been cultivated by the regional staff of the various funding programs. As a result of the UER creation process, agency staff better understand the mechanisms, requirements, and procedures of their counterparts in other funding agencies.

Both PENNVEST and DEP have Websites that provide information to applicants and allow them to interact with the agencies. In addition, "How to Apply" sessions are held each spring by PENNVEST. Other public meetings are also held throughout the year to disseminate information and collect feedback.

Because of these efforts, all of the approximately 200 PENNVEST applicants per year are aware of the coordination between the various funding agencies.

## PENNSYLVANIA PARTNERS

*Programs and agencies participating in the UER process:*

- *Drinking Water State Revolving Loan Fund (PENNVEST, DEP, EPA)*
- *Clean Water State Revolving Loan Fund (PENNVEST, DEP, EPA)*
- *RUS' Waste Disposal Grant and Loan Program (USDA-RD)*
- *CDBG Program (DCED, HUD)*
- *Other Federal Funding Efforts (EPA)*

**Website:** [www.pennvest.state.pa.us](http://www.pennvest.state.pa.us)



## **PENNSYLVANIA'S COORDINATED FUNDING SURVEY**

### **Getting Started**

**Q: *Who initiated/spearheaded the process for establishing the coordinated funding approach in your state?***

A: The UER effort had been ongoing in various stages for several years. We finally formed a work group that involved many stakeholders and worked through the bulk of the issues through the efforts of the PA DEP and the U.S. Department of Agriculture's RUS offices.

Prior to this formalization, PENNVEST had established a planning consultation protocol in 1988 that required all applicants to participate in a planning meeting with DEP, PENNVEST, local planning officials, and other potential funding sources. This resulted in a cooperative effort and allowed a more coordinated allocation of limited resources. In addition, PENNVEST regional staff routinely meet with regional U.S. Department of Agriculture's RUS staff, county CDBG administrators, and other funding agencies as appropriate. PENNVEST staff also provided input to the statewide CDBG funding office, EDA, and ARC. These efforts are crucial to the success of the water, sewer, and storm water projects under consideration throughout the Commonwealth, regardless of the funding source.

**Q: *What was the rationale behind establishing the approach (e.g., decision to focus on rural systems, decision to do a uniform environmental review versus a uniform application, etc.)?***

A: The legislation that created PENNVEST included a rural system focus. Pennsylvania has a large number of water/sewer systems, and many of the small, distressed systems seem to have not had access to funding sources. PENNVEST strives to fill that gap. The UER is a step to help applicants reduce the overhead involved in completing the planning and design required in order to be ready for a funding offer. The missions of many of the funding agencies (both state and federal) are significantly different from each other, and, therefore, a uniform application did not seem to be realistic at the time. In fact, we could not persuade the U.S. Army Corps of Engineers to buy into the UER process, even though they duplicate much of the effort on projects that are jointly funded.

**Q: *Please identify any significant milestones you achieved during the process of establishing your coordinated funding approach.***

A: Applicants can now complete one environmental review that will be accepted by all potential funding sources except the U.S. Army Corps of Engineers.

**Q: *What specific challenges/obstacles did your state face in establishing its coordinated funding approach and how did your state overcome them?***

A: A certain level of turf protection was experienced but was quickly dissipated with the realization of the benefits that can be garnered by the applicants. The relationships that had been cultivated by regional staff members helped the different agencies accept the process. Input from the consulting community and administrators also helped develop a workable process that would satisfy the regulatory aspects while addressing cost and other concerns of applicants. We were never able to obtain acceptance from the U.S. Army Corps of Engineers.



**PENNSYLVANIA'S COORDINATED FUNDING SURVEY (CONT'D)****Implementing the Approach**

**Q: *How does your state handle differences in program requirements and priorities among the various funding sources?***

A: We provide or solicit input to or from other agencies in order to consider differences prior to the decision to fund a project. When conflicts rise to the surface, the funding agency can decide how to act based upon their mission. For instance, we have found that, in some cases, PENNVEST has a more conservative view of Agricultural Land Preservation and land use than some of the other funding agencies, including the USDA. Since PENNVEST requires a sign-off by local planning and agriculture preservation boards prior to funding a project that may have land use impacts, PENNVEST could potentially not fund a project that could later be funded by the USDA's RUS, because RUS does not require the same level of local review and input. This is a position that PENNVEST has taken based upon its mission and the impact that drinking water and sewer funding may have on local land use. Obtaining local sign-off ensures PENNVEST funded projects are consistent with local land use and agricultural preservation efforts.

Each project that PENNVEST considers for funding is ranked and evaluated by either PA DEP for public health, environmental, and technical issues or by the PA Department of Community and Economic Development (DCED) for economic development, private investment, and job creation considerations. PENNVEST combines these rankings, develops a comprehensive list of projects in priority order, and makes funding recommendations to its Board of Directors based upon this information.

**Q: *How does your state make the public aware of its coordinated funding efforts? Public meetings, funding fairs, websites, newsletters?***

A: Pennsylvania has a number of outreach efforts. PENNVEST has four regional project specialists that cover different areas of the state providing basic information and consultation services. Each Regional PA DEP office has staff that work with PENNVEST and local community leaders to disseminate information as well. The PA DCED, DEP, and PENNVEST participate in a large number of statewide association meetings that involve the Commonwealth's local and county governments as well as investor-owned utilities. The Commonwealth has also been very aggressive in marketing services through the Internet. PENNVEST and DEP have interactive Websites that can be used to access information, ask questions, and begin a dialogue. In addition, we conduct annual "how to apply" sessions each spring and a series of information exchange meetings each fall that are used to disseminate, as well as collect, information as to how the program is working.

**Assessing the Approach**

**Q: *How many potential funding applicants do you think you reach every year through the coordinated funding approach?***

A: Each of the 150 to 200 new applications that PENNVEST receives each year is cognizant of the coordinated funding efforts.

**Q: *Do you believe that the coordinated funding approach in your state has been effective at getting projects funded and why?***

A: Coordinated funding is critical to funding projects in Pennsylvania. It allows projects to proceed to construction that would otherwise languish in the sea of red tape. Utilizing the tools available

## **PENNSYLVANIA'S COORDINATED FUNDING SURVEY (CONT'D)**

and maximizing the limited resources that are available to various agencies, we are able to mix and match different funding sources to develop a package that will best suit the particular project. The icing on the cake is that all (or most) is completed up front in order to ensure adequate funding as early in the process as possible.

***Q: Is your state considering any improvements/enhancements to its approach?***

A: We continue to monitor our efforts and make modifications as appropriate.

***Q: What changes at the federal level do you think would help to enhance coordination?***

A: Our main suggestion is to allow maximum flexibility of available funds so that states may be able to develop funding packages that relate to a specific project. Federal money should consider state and local priorities before committing project funds. The U.S. Army Corps should also accept the UER process for their projects.



Two main bodies in the State of Washington coordinate funding for drinking water and wastewater infrastructure projects. The Washington Community Economic Revitalization Team (WA-CERT) has been active since 1993. It was created to respond to locally defined needs – focusing mainly on rural counties and the tribes within those counties – with a program that is flexible and innovative. WA-CERT is an information clearinghouse of technical and financial assistance provided by federal, state, and other sources to prioritized local and tribal projects. It is a partnership involving ten federal agencies, three state agencies, tribal governments, local governments, public ports, economic development councils, not-for-profits, and lending institutions whose members are appointed by the governor.

WA-CERT's accomplishments include:

- Developing a single point of entry for federal and state programs serving designated, rural, natural resource impact areas.
- Creating a seamless service delivery that maximizes partnerships.
- Providing training to rural communities through the WA-CERT Rural Communities Symposium and other avenues.
- Investing over \$300 million in local priority projects since 1994.

Washington's Infrastructure Assistance Coordination Council (IACC) was established in the mid-1980s as an information clearinghouse of technical and financial assistance. The non-profit organization is composed of 40 volunteer voting members who represent numerous federal, state, and local government associations as well as non-profit technical assistance firms and universities. IACC is not directly linked to any governmental agency, though its members often speak for their respective organizations during IACC meetings.

## WASHINGTON PARTNERS

### WA-CERT members:

- *Office of Trade and Economic Development (OTED)*
- *Small Business Administration*
- *USDA's Rural Development*
- *OTED's Community Economic Assistance Center*
- *HUD*
- *WA Department of Ecology*
- *WA Department of Health*
- *Indian Health Service*
- *EDA*
- *Community Economic Revitalization Board*

Website: [www.oted.wa.gov/ed/wacert/Home.asp](http://www.oted.wa.gov/ed/wacert/Home.asp)

### IACC members:

- *Department of Community, Trade and Economic Development (CTED)*
- *USDA's Rural Development*
- *Conservation Commission*
- *WA Department of Ecology*
- *US Army Corps of Engineers*
- *NW Small Cities Services*
- *WA Department of Transportation*
- *WA Department of Health*
- *WA Emergency Management Division*
- *US Department of Energy*
- *Indian Health Service*
- *EPA*
- *Bureau of Reclamation*
- *Office of State Treasurer*
- *Association of WA Cities*
- *WA Department of General Administration*

Website: [www.infracfunding.wa.gov](http://www.infracfunding.wa.gov)

IACC's main goal is to improve the delivery of technical and financial infrastructure assistance to local governments. It grew out of the desire to have staff at the various funding agencies regularly set aside time to talk to each other, share information, and network. IACC maintains an updated and searchable database of more than 215 state and federal programs. It has also started to provide free or low-cost software to local governments and other jurisdictions to aid in their search and application for funds. Finally, IACC sponsors a conference that brings together funding agencies and technical assistance providers that aid individual systems. This conference is held once every two years. It provides an opportunity for local governments and other jurisdictions to find funding sources and technical assistance and for lending agencies to coordinate funding and streamline the lending process.

IACC decided against creating a single application for the various infrastructure lending programs. Members believed that any unified application would be so long and cumbersome it would make the process harder and discourage local governments from applying for funding. Instead, IACC has been able to unify limited elements of various applications, promote the best features of all the applications, and advocate for unifying the funding cycles of all lending programs.

## WASHINGTON'S COORDINATED FUNDING SURVEY

### Getting Started

**Q: *Who initiated/spearheaded the process for establishing the coordinated funding approach in your state?***

A: IACC: The ad hoc group originally known as the Intergovernmental Public Facilities Finance Committee (IPFFC) was initiated in 1986 by staff representatives from state and federal agencies who wanted to provide an opportunity to discuss shared issues and coordinate funding and technical assistance to communities.

TIMBER TEAM: was established as a comprehensive approach to interagency coordination involving human services, education, retraining, and community and economic development programs, that focused on service delivery to targeted individuals and communities.

WA-CERT: was created in 1993 by Presidential order and included federal agencies, EPA, and Governor-appointed local elected officials. WA-CERT assumed the Timber Team budget in 1999.

**Q: *What was the rationale behind establishing the approach (e.g., decision to focus on rural systems, decision to do a uniform environmental review versus a uniform application, etc.)?***

A: IACC (or IPFFC) as an “approach” initially came out of the desire by state and federal staff to share program and common project information in order to better serve Washington’s communities. With local governments facing increasing public facility needs and limited financial assistance, sharing information and coordinating efforts seemed a way to improve the investment of financial and technical resources. It began as an informal gathering and expanded to be a more structured organization. But, it is still dependent on the volunteer efforts of state and federal staff. The initial “decision” was for staff to take the initiative to begin regularly setting aside time to talk to each other, share information, and network.

This IACC organization has supported several “approaches” through the years. A basic activity has been to offer a conference to bring local governments and engineers together with the funding and regulatory agencies to network and coordinate their various forms of assistance. Another basic activity has been the creation of the Infrastructure Assistance Directory to provide a single resource guide for local governments. IACC also tried to establish a system of coordinating technical assistance teams for local projects, but this was too difficult to sustain, and the need was somewhat met by the WA-CERT approach.

IACC has supported several other activities through the years. The basic rationale has always been that public facility assistance is not keeping up with the need. Therefore, IACC seeks to answer the question: How can the state and federal funding providers make the best use of resources, and how can we assist local governments in accessing financial and technical assistance?

The Timber Team provided targeted and coordinated technical assistance to individuals, communities, and businesses impacted by the curtailment of the federal timber harvest. In 1992, the Timber Team began a “seamless service delivery” approach, with the philosophy that it is the job of state and federal program staff to find the best mix of programs to help a community address a priority need.

## WASHINGTON'S COORDINATED FUNDING SURVEY (CONT'D)

WA-CERT's process continued the one-stop shopping approach, pioneering the concepts of scoping agents and technical teams – a bottom-up (community driven) approach to coordination, teaching project development techniques to other staff and communities through a variety of training workshops and WA-CERT Rural Communities Symposium.

**Q: Please identify any significant milestones you achieved during the process of establishing your coordinated funding approach.**

A: • Rural Development, Community Development Block Grant, and the Department of Ecology will accept each other's environmental work, if coordinated early.  
• Offering infrastructure assistance conferences.  
• Creation of IACC's searchable Infrastructure Assistance Directory.  
• Establishment of non-profit status (state).

WA-CERT's two-page project proposal form, scoping agents, technical team approaches, web-based application process, and Symposium.

**Q: What specific challenges/obstacles did your state face in establishing its coordinated funding approach and how did your state overcome them?**

A: Staff continue to address various challenges/obstacles. The challenge for any sustained coordinated effort is having the authorization to work in a collaborative way.

### Implementing the Approach

**Q: How does your state handle differences in program requirements and priorities among the various funding sources?**

A: Due to the decline in levels of certain funding for community and economic development programs, coordination is even more important. Some information is shared between programs (e.g., community income status information between Rural Development and Community Development Block Grant, environmental review information between the Department of Ecology, Community Development Block Grant, and Rural Development), though differences in program requirements and priorities among the various funding sources are not really "handled."

**Q: How does your state make the public aware of its coordinated funding efforts? Public meetings, funding fairs, websites, newsletters?**

A: IACC Conference; [www.infrafunding.wa.gov](http://www.infrafunding.wa.gov); fact sheets; and, training events. Thirty-one counties and 26 tribes prioritize projects through the WA-CERT system. The state and federal agency staff scan those lists of projects identifying those that fit their priorities, funding programs, etc.

### Assessing the Approach

**Q: How many potential funding applicants do you think you reach every year through the coordinated funding approach?**

A: We are unable to estimate the total number of applicants that are reached by our coordination efforts.

## **WASHINGTON'S COORDINATED FUNDING SURVEY (CONT'D)**

**Q: Do you believe that the coordinated funding approach in your state has been effective at getting projects funded and why?**

A: Yes. A good example of these efforts are agency staff that coordinate to assist small, rural communities that are simultaneously struggling with economic vitality and compliance with health and environmental regulations.

**Q: Is your state considering any improvements/enhancements to its approach?**

A: New ideas are always being considered.

**Q: What changes at the federal level do you think would help to enhance coordination?**

A: Giving applicants fewer federal requirements to meet.

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## Appendix B: Sample Documents From Surveyed States

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**A**ppendix B provides sample documents used by the six profiled states. The documents include:

- Arizona's Project Information Form used to gather basic system and project information.
- California's Common Funding Inquiry Form used to route potential applicants to the appropriate funding agency(ies).
- A sample of Montana's Project Tracking Tables, which track the progress of each project funded through W<sub>2</sub>ASACT.
- The Memorandum of Understanding that created the Co-funding Initiative in New York.
- Flowcharts created by PENNVEST to show how drinking water and wastewater systems move through the application and funding processes in Pennsylvania.
- A "snapshot" of IACC's Web site, which allows systems to identify available sources of funding in Washington.

## AZ - RWIC Project Information Form

## RURAL INFRASTRUCTURE COMMITTEE PROJECT INFORMATION FORM

(To be utilized by all project applicants within the State of Arizona)

### I. GENERAL INFORMATION

1. Name of Community/Facility/System: \_\_\_\_\_ 2. County: \_\_\_\_\_
3. Previous name of Facility/System, if applicable: \_\_\_\_\_
4. Type of Organization: Municipality ( ) Special/Domestic District ( ) Investor Owned ( ) Co-op ( ) Other ( )
- If other, please explain: \_\_\_\_\_
5. Total Population Served: \_\_\_\_\_ 6. Number of Connections: \_\_\_\_\_
7. Contact Person: \_\_\_\_\_ 8. Telephone Number: \_\_\_\_\_
- Title: \_\_\_\_\_ 9. Fax Number: \_\_\_\_\_
10. Address \_\_\_\_\_ 11. E-Mail Address  
(If Applicable): \_\_\_\_\_
12. Type of Project (Please Check): Water ( ) Wastewater ( ) Solid Waste ( )

### II. DEMOGRAPHIC AND SERVICE AREA INFORMATION

13. Population of Project Service Area: \_\_\_\_\_ 14. Number of Service Connections or users: \_\_\_\_\_
- Complete the following (If you do not have accurate study data, please provide an estimate):
15. Median Income of Service Area: \_\_\_\_\_ 16. % Poverty Level of Service Area: \_\_\_\_\_

### III. DESCRIPTION OF PROJECT AND APPLICABLE BACKGROUND INFORMATION

17. Provide a description of the problem.

18. (a) Estimated Project Cost: \$ \_\_\_\_\_ 16. (b) Estimated By: \_\_\_\_\_ (Date) \_\_\_\_\_

19. Describe the proposed solution.

20. Please check all that apply to resolving the problem.

- |  |   |
|--|---|
| <input type="checkbox"/> Not Certain of How and Where to Begin | <input type="checkbox"/> Lack Organization/Cooperation    |
| <input type="checkbox"/> Public Is Unaware of the Problem      | <input type="checkbox"/> Lack Public Support for Solution |
| <input type="checkbox"/> Need Qualified Consultants            | <input type="checkbox"/> Experiencing Technical Problems  |
| <input type="checkbox"/> Lack financial Options                | <input type="checkbox"/> Regulatory Problems              |
| <input type="checkbox"/> Environmental Issues                  | <input type="checkbox"/> Other:                           |

If Environmental or Other Issues are applicable, please explain:

21. Have you contacted any agencies or lending sources about funding? Please Check: Yes ( ) No ( )  
 BECC ( ) CDBG ( ) GADA ( ) USDA – Rural Development ( ) WIFA ( ) Other ( )

If Other, please identify: \_\_\_\_\_

22. Have you received on-site Technical Assistance? Please check: Yes ( ) No ( )

Check source(s) of Technical Assistance Received:

ASETT Center ( ) RCAC ( ) ASUA ( ) Other ( ) If Other, please identify: \_\_\_\_\_

#### IV. FINANCIAL RATE, COLLECTION AND FUND INFORMATION

23. Rates: Monthly/Quarterly/Other

Service	Residential Rates	Commercial Rates	Date of Last increase
Water	Base: Use:	Base: Use:	
Wastewater	Base: Use:	Base: Use:	
Solid Waste	Base: Use:	Base: Use:	

22. Are water and wastewater separate funds?

23. Please complete budget information.

Annual Budget	Water Fund	Wastewater Fund
Total Collections		
Operation/Maintenance/Replacement		
Annual Debt Service		
Reserve/Sinking Fund Balance		
Available/Uncommitted Balances		

Rates by "Uses" – e.g. \$1.00 gallons beyond base of 5,000 gallons

**24. Please provide the latest summary of your revenues and expenditures. (If you have audited financial statements, there will be a section entitled "Combined Statement of Revenues and Expenditures".)**

## CA - CFCC Common Funding Inquiry

CALIFORNIA FINANCING COORDINATING COMMITTEE		
COMMON FUNDING INQUIRY FORM		
<p><b>Instructions:</b> An electronic copy of this form can be obtained at <a href="http://www.cfcc.ca.gov/">http://www.cfcc.ca.gov/</a></p> <p>Please provide the information below and e-mail the completed form to: <a href="mailto:rcristia@commerce.ca.gov">rcristia@commerce.ca.gov</a></p> <p>If completing a hard copy of this form, attach responses where applicable and fax to Roma Cristia-Plant at (916) 322-6314.</p>		
Name of Applicant or Official System Name:		County:
<p>Check the box that best describes the applicant's organization:</p> <p> <input type="checkbox"/> Municipal entity           <input type="checkbox"/> Private entity, for profit           <input type="checkbox"/> Private entity, nonprofit         </p>		
<p><b>Project OR Problem Description:</b> (Describe the problem or the need for the project, the purpose of the project, the basic design features of the project and what the project will accomplish. Attach documentation, if available.)</p>		
<p><b>Estimated Project Schedule:</b> (Provide a timeline that illustrates the estimated start and completion dates for each major phase or milestone of project development, construction and/or acquisition (including, for example, feasibility study, land acquisition, preliminary engineering, environmental review, final design and construction commencement and completion.)</p>		
<p><b>Financing Is Needed For:</b> (check all that apply)</p> <p> <input type="checkbox"/> Feasibility Study           <input type="checkbox"/> Rate Study           <input type="checkbox"/> Engineering/Architectural  <input type="checkbox"/> Land Acquisition           <input type="checkbox"/> Environmental           <input type="checkbox"/> Project Construction  <input type="checkbox"/> Administration           <input type="checkbox"/> Other, specify: _____         </p>		
Estimated Total Project Costs: \$		Estimated Funding Requested: \$
Multiple Funding Sources Anticipated:		<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>For water/sewer projects only:</p> <p>System ID No.:</p> <p>Service Area Population:</p> <p>Number of Service Connections:</p>		<p><b>Population of City, County or Benefit Area:</b> (City if city applicant; county if county applicant; benefit area for all others)</p> <p><b>Estimated Median Household Income of Service Area or Project Benefit Area:</b> \$</p>
<p>All correspondence regarding this inquiry will be sent to the individual named below. You will receive a written acknowledgement of the receipt of this inquiry form and be contacted by staff of the appropriate CFCC member agencies to pursue additional assistance.</p>		
Printed Name of Inquirer		Title
Mailing Address		Date
City		Zip code
Phone Number ( )	FAX Number ( )	E-mail
For CFCC Use Only:		Date Responded to Inquiry:
Date of Referral to CFCC Member Agencies:		

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MT - W<sub>2</sub>ASACT Project Tracking Tables

**Status:** PE = Preliminary Engineering; F = Obtaining Financing; D = Final Design; C = Construction; X = Project Completed

**Year Notations:** The year in parentheses following the amount denotes that the applicant has submitted an application to the funding source and is awaiting a funding by the funding source. A question mark in parentheses denotes that the applicant has indicated in an application to another funding source that it is planning to submit year with a question mark in parentheses, indicating that the applicant has definite plans to apply or re-submit an application in that year.

**Other Funding Source Notations:** CDBG = Community Development Block Grant Program; DNRC = Department of Natural Resources and Conservation; EPA = Environmental Protection Agency; EDA = Economic Development Agency; STAG = State and Tribal Assistance Grant; **Unknown** = Funding has been

APPLICANT	PROJECT	Status	CDBG Grant		DNRC Grant		DNRC Loan		INTERCAP Loan (non-interim)		RD Grant	
Solid Waste			YEAR		YEAR		YEAR		YEAR		YEAR	
Hebgen Basin-West Yellowstone Refuse District	Composting facility for municipal solid waste	D			\$ 99,425	99						
Lake County Solid Waste District	Transfer station	F			\$ 100,000	(02)			\$ 640,182	(?)		
<b>Total Solid Waste</b>			\$ -		\$ 199,425		\$ -		\$ 640,182		\$ -	
Waste Water			YEAR		YEAR		YEAR		YEAR		YEAR	
Arlce W&S District, Lake Co.	New wastewater system	D	\$ 500,000	00					\$ 14,000	99	\$ 1,517,800	99
Ashland W&S District, Rosebud Co.	New treatment plant	D	\$ 385,500	01	\$ 100,000	01						
Big Sky (Phase III)	Treatment improvements	C			\$ 100,000	(02)						
East Missoula	New collection system & connect to Missoula	C	\$ 400,000	99	\$ 100,000	97					\$ 940,000	00
Florence W&S District, Ravalli County	New wastewater system	F	\$ 500,000	(03)	\$ 100,000	01			\$ 16,325	99	\$ 2,170,000	(?)
Virginia City	New treatment plant	D	\$ 500,000	02	\$ 100,000	01						
<b>Total Waste Water</b>			\$ 2,285,500		\$ 500,000		\$ -		\$ 30,325		\$ 4,627,800	
Water			YEAR		YEAR		YEAR		YEAR		YEAR	
Blackfeet Tribe	New source and treatment plant to provide water to East Glacier and Browning	F/D									\$ 4,637,415	01
Clyde Park	New well and distribution improvements	C			\$ 100,000	01					\$ 721,000	01
Eureka	Supply and treatment improvements	C										
Lacasa Grande Estates W&S District, Lewis & Clark Co.	New water system	C			\$ 100,000	01						
Lockwood W&S District, Yellowstone Co.	Treatment improvements	F	\$ 335,000	(?)								
Phillipsburg	Source improvements	C	\$ 400,000	98	\$ 30,000	98						
<b>Total Water</b>			\$ 735,000		\$ 230,000		\$ -		\$ -		\$ 5,358,415	
Water & Sewer			YEAR		YEAR		YEAR		YEAR		YEAR	
Colstrip	Distribution & collection	C										
Libby	Water & wastewater extension of services	F			\$ 100,000	(02)			\$ 241,275	(?)		
Upper/Lower River Road, Cascade Co.	Connect to City of Great Falls	F			\$ 100,000	(02)						
<b>Total Water &amp; Sewer</b>			\$ -		\$ 200,000		\$ -		\$ 241,275		\$ -	

decision. The amount indicated is only an estimate and the amount if awarded could be higher or lower. The year without parentheses denotes the year the project was funded an application to this funding source. A question mark without parentheses denotes that funding is authorized, but funding is not yet committed. Note that CDBG may have a

**RD** = Rural Development; **SRF** = State Revolving Fund; **TSEP** = Treasure State Endowment Program; **IHS** = Indian Health Service; **BIA** = Bureau of Indian Affairs; anticipated from a particular funding source, but the application was unsuccessful and a new source has not been identified.

RD Loan	SRF Loan	TSEP Grant	LOCAL FUNDING	OTHER FUNDING	TOTAL PROJECT COST	COUNTY
YEAR	YEAR	YEAR	Source	YEAR		
	\$ 4,136,000	02	\$ 159,058		\$ 4,394,483	Gallatin
		\$ 500,000	(02)	\$ 1,056,818	\$ 2,297,000	Lake
\$ -	\$ 4,136,000	\$ 500,000	\$ 1,215,876	\$ -	\$ 6,691,483	
YEAR	YEAR	YEAR	Source	YEAR		
\$ 742,100	99	\$ 500,000	99	\$ 11,338	\$ 322,745	S&K Tribes (\$320,000) MDEQ Planning Grant (\$42,745)
						99
	\$ 116,750	01	\$ 500,000	01	\$ 28,750	\$ 306,500
						01
	\$ 7,000,000	02	\$ 500,000	(02)	\$ 2,500,000	\$ 8,959,013
						Private Sources
\$ 2,053,200	00	\$ 500,000	97	\$ 298,017	\$ 265,760	MDEQ Planning Grant (\$23,925) EPA Grant (\$241,835)
\$ 2,170,000	(?)	\$ 500,000	01	\$ 16,325		DNRC Planning Grant (\$6,325) MDEQ Planning Grant (\$10,000) STAG (\$2,000,000)
						01
	\$ 724,000	02	\$ 500,000	01	\$ 23,460	\$ 9,981
\$ 4,965,300	\$ 7,840,750	\$ 3,000,000	\$ 2,861,565	\$ 9,880,324		MDEQ Planning Grant (\$9,981)
						99
						\$ 1,857,441
						\$ 37,198,414
YEAR	YEAR	YEAR	Source	YEAR		
\$ 1,545,805	01	\$ 500,000	01	\$ 5,026,555		TSEP/Browning (\$500,000) State CDBG/Browning(\$500,000) EPA (\$720,000) NAHASDA (\$1,500,000) TSEP/East Glacier (\$306,555) EDA (\$1,500,000)
						97
\$ 429,000	01			\$ 19,000	\$ 514,500	CDBG Planning Grant (\$4,500) DNRC Planning Grant (\$10,000) Unknown (\$500,000)
						98
	\$ 619,000	02	\$ 369,000	01	\$ 95,920	
						00
	\$ 650,000	(02)	\$ 500,000	99	\$ 4,950	MDEQ Planning Grant
	\$ 643,828	(?)	\$ 500,000	(02)	\$ 229,727	\$ 15,000
						DNRC Planning Grant (\$10,000) TSEP PER Grant (\$5,000)
	\$ 241,000	98	\$ 121,900	99	\$ 344,123	\$ 7,496
\$ 1,974,805	\$ 2,153,828	\$ 1,990,900	\$ 688,770	\$ 5,568,501		CDBG Planning Grant
						\$ 1,144,519
						\$ 18,700,219
YEAR	YEAR	YEAR	Source	YEAR		
	\$ 2,617,000	(02)	\$ 400,000	\$ 700,000		MT Coal Board
		\$ 500,000	(02)	\$ 400,000	\$ 20,000	DNRC Planning Grant (\$10,000) CDBG Planning Grant (\$10,000)
	\$ 792,000	(?)	\$ 500,000	(03)	\$ 10,800	\$ 2,023,200
\$ -	\$ 3,409,000	\$ 1,000,000	\$ 810,800	\$ 2,743,200		DNRC (\$10,000) DEQ/SRF & DOC/CDBG (\$13,200) STAG (\$2,000,000)
						02
						\$ 3,426,000
						\$ 8,404,275

## NY - MOU for Co-Funding Initiative

### New York: MEMORANDUM OF UNDERSTANDING

#### COORDINATION OF WATER AND SEWER FUNDING ACTIVITIES

This MEMORANDUM OF UNDERSTANDING (MOU) is by and between the New York State Department of Health (DOH), an agency of the State of New York, the New York State Department of State (DOS), an agency of the State of New York, the New York State Environmental Facilities Corporation (EFC), a New York State public benefit corporation, the New York State Governor's Office for Small Cities (GOSC), a unit of the New York State Housing Trust Fund Corporation, the New York State Department of Environmental Conservation (DEC), an agency of the State of New York, and the United States Department of Agriculture Rural Development (USDA RD). (Such entities individually sometimes referred to as a "Government Agency" and collectively, "Government Agencies").

A. WHEREAS, the Government Agencies entering into this MOU each have funding programs that assist communities, including small and rural communities, to finance projects that have water and/or sewer needs ("projects"). These Government Agencies operate separately and independently from each other, and each Government Agency has separate and independent decision-making functions for determining the projects it funds.

B. WHEREAS, such projects may be eligible to receive funding from any or all of the Government Agencies. In order for a project to receive funding from the Government Agencies, an applicant must apply to each Government Agency separately. Coordinating this application process, while retaining each Government Agency's separate and independent decision-making responsibilities, will simplify the application process for potential applicants and enhance customer service.

C. WHEREAS, projects may be eligible to receive funding from any or all of the Government Agencies. Cooperation and communication between such Government Agencies is necessary to ensure optimum funding potential and assistance. A formal funding coordination process will ensure that applicants have the opportunity to receive funding from the most appropriate funding source(s), and that the Government Agencies are using available funds as effectively as possible.

D. WHEREAS, this MOU addresses key recommendations in Governor Pataki's Quality Communities Interagency Task Force Report dated January 2001, which calls for Government Agencies to study community growth in New York State and develop means to assist communities in implementing effective land development, preservation and rehabilitation strategies that promote both economic development and environmental protection. The Quality Communities Interagency Task Force also made recommendations for agencies to review current policies and practices concerning state funding to local governments and to stream line the state funding application process.

NOW, THEREFORE, in cooperation of the mutual covenants and agreements contained herein, the Government Agencies agree as follows:

A. The Government Agencies enter this joint MOU to formalize the coordination of water and sewer financing activities for the purpose of improving service to communities seeking project financing. The water and sewer funding programs addressed by this MOU are as follows:

(i) *Appalachian Regional Commission (ARC)*: Administered by DOS, this program provides funding to the 14 Southern Tier counties in the Appalachia region of New York State. ARC financial assistance to projects in all Appalachian counties are only a small catalytic part of a larger package of state and federal investments for particular infrastructure efforts and are almost always co-funded with such funds.



(ii) *Clean Water State Revolving Fund (CWSRF)*: Administered by EFC and DEC, CWSRF provides reduced rate financing to recipients for municipally owned water quality protection projects.

(iii) *Community Development Block Grant (CDBG) Small Cities Program*: Administered by the GOSC, the HUD CDBG Small Cities Program provides grants to eligible cities, towns and villages with a population under 50,000 persons and counties under 200,000 for projects principally benefitting low and moderate income persons by revitalizing neighborhoods, expanding affordable housing and economic opportunities, and/or improving community facilities.

(iv) *Drinking Water State Revolving Fund (DWSRF)*: Administered by DOH and EFC, the DWSRF provides reduced rate financing and grants for municipally and privately owned public water systems to undertake needed drinking water infrastructure projects.

(v) *1996 Clean Water/Clean Air Bond Act*: Administered by DEC, the Clean Water/Clean Air Bond Act provides grants to municipalities or entities designated by municipalities for the implementation of water quality improvement projects including wastewater treatment improvement, aquatic habitat restoration and non-point source abatement and control

(vi) *USDA RD*: Provides loans, grants and loan guarantees for drinking water, sanitary sewer, solid waste and storm drainage facilities in rural areas and cities and towns with a population of 10,000 or less. Public bodies, non-profit organizations and recognized Indian tribes may qualify for assistance.

B. To enhance customer service, simplify the application process and formalize the coordination of jointly financed water and sewer funding activities, the Government Agencies each acknowledge and agree to:

(i) Promptly establish a permanent Water and Sewer Co-funding Committee (Co-funding Committee) consisting of representatives from each of the Government Agencies who are a party to this MOU, in order to carry out the tasks needed to achieve the MOU objectives (as described above in paragraphs B and C) and to meet on a regular basis for the purpose of monitoring and evaluating actions toward achieving the objectives of this MOU;

(ii) Cooperate in preparing and distributing a common screening mechanism that enables potential funding recipients to determine if they may be eligible for funding offered by the different Government Agencies;

(iii) Cooperate in developing an efficient mechanism and process to obtain fundamental information that each government agency requires of an applicant to minimize the applicant's duplication of effort;

(iv) Facilitate the exchange of information among the Government Agencies to maximize the delivery of resources to communities in need of infrastructure improvements;

(v) Jointly finance projects whenever feasible and appropriate;

(vi) Provide the support to coordinate jointly financed water and sewer financing activities; and

(vii) Provide training outreach on government water and sewer financing programs to inform potential recipients of funding opportunities for which they may be eligible.

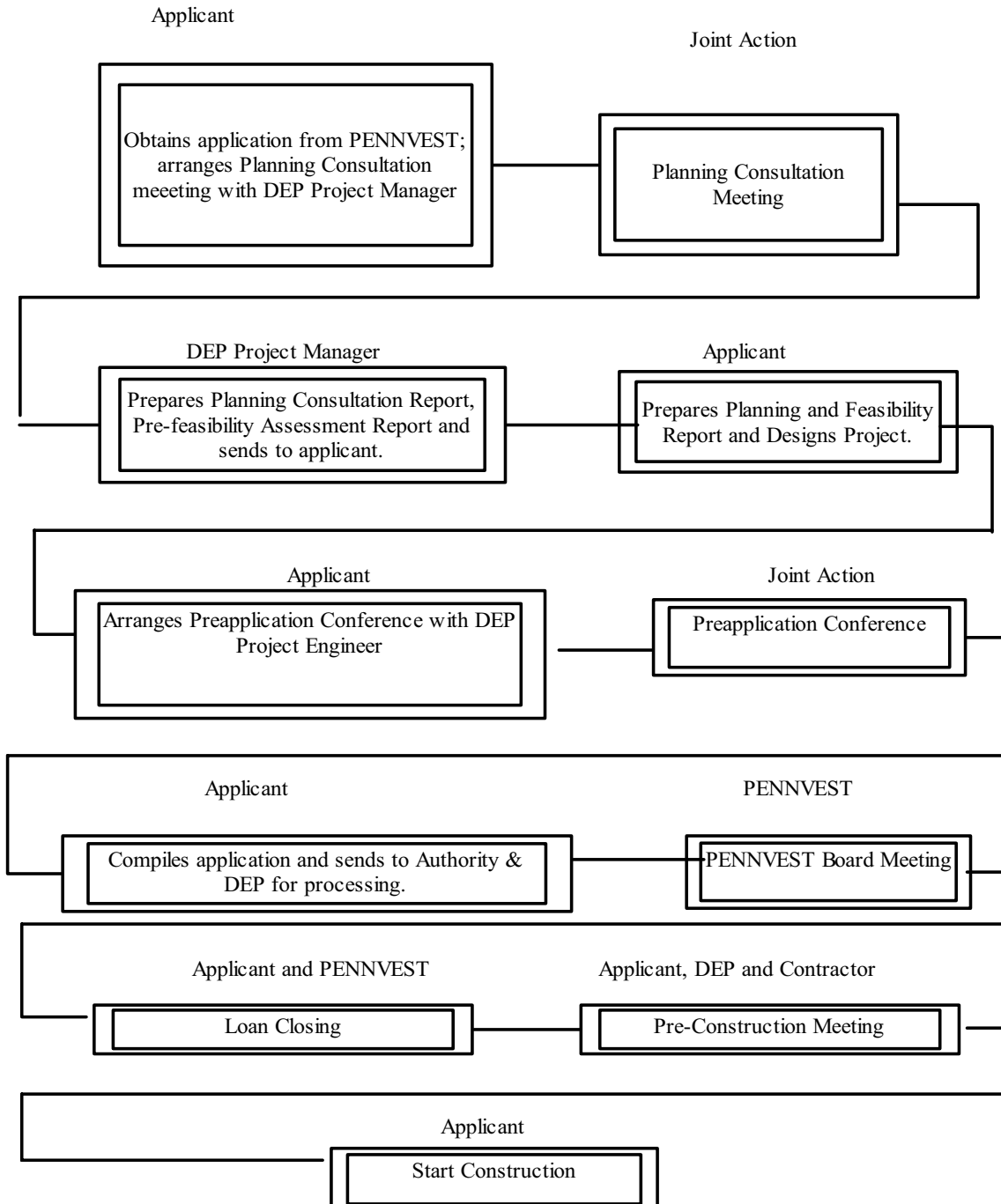
C. The list of contacts for each of the Government Agencies who are a party to this MOU is attached as Appendix A.

D. This agreement will commence when executed by the last of the Government Agencies identified in this MOU and remains in effect until terminated by any party giving to the others not less than sixty (60) days written notice that on or after a date therein specified, this agreement shall be terminated and canceled.

PA - Flow Chart

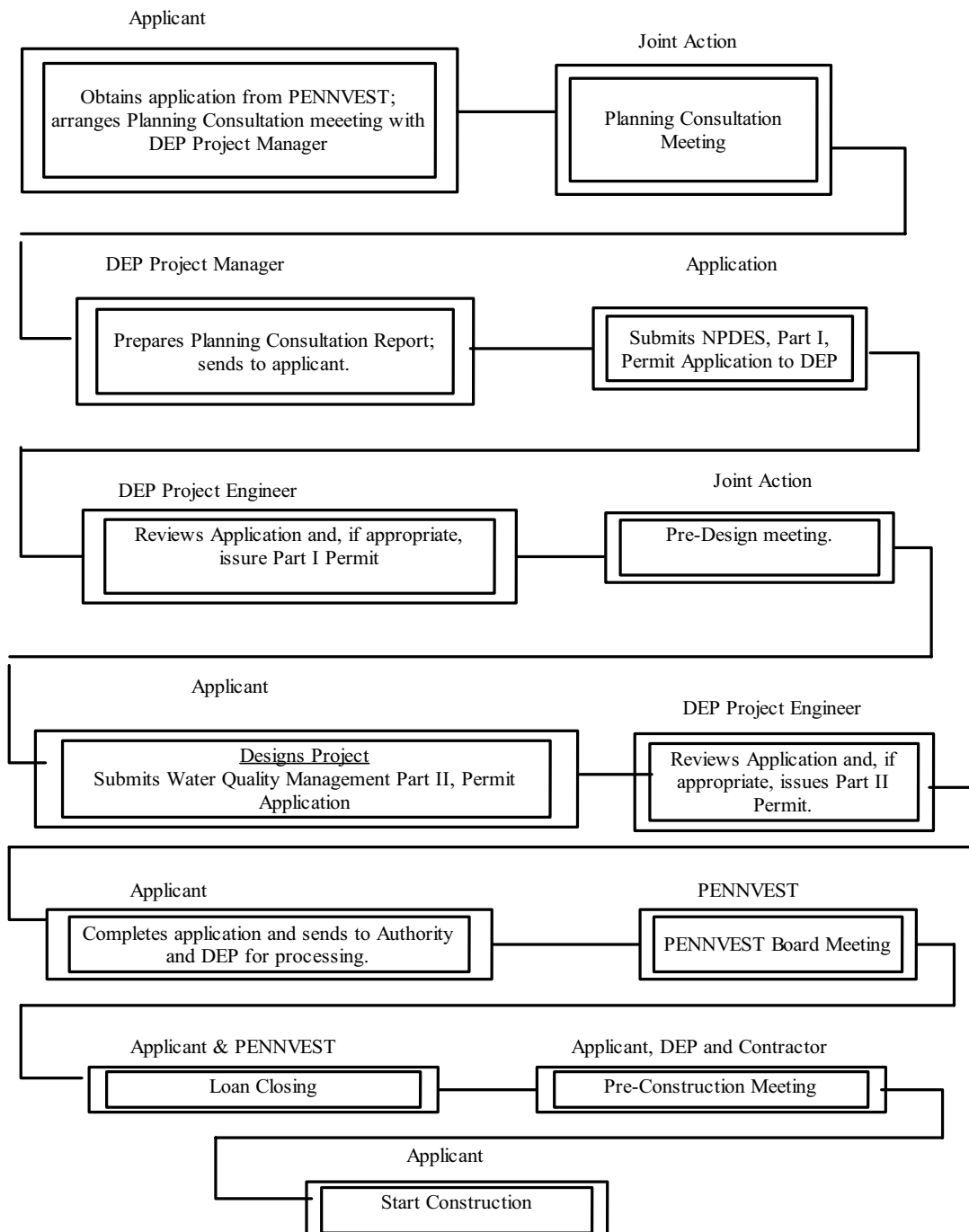
FLOW CHART - DRINKING WATER

PENNSYLVANIA INFRASTRUCTURE INVESTMENT AUTHORITY  
APPLICATION FOR FINANCIAL ASSISTANCE

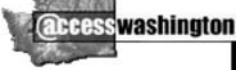



## FLOW CHART -WASTEWATER

### PENNSYLVANIA INFRASTRUCTURE INVESTMENT AUTHORITY APPLICATION FOR FINANCIAL ASSISTANCE



## WA - IACC Website






# infrastructureDATABASE

- Home
- Assistance
- IACC
- Current Opportunities
- Maintenance
- E-Mail
- Contact Information

HOME



**InfrastructureDATABASE** is your resource for locating infrastructure funding or technical assistance in Washington State. This site is brought to you by the Infrastructure Assistance Coordinating Council (IACC).

Choose the Type of data that interests you:

1

2

3

4


**Type of Assistance:**

**Category:**


**Eligible Organization:**

**Match Required:**


Best viewed with :




Get Results



IACC Conference  
2003  
"Harvesting  
Resources"  
Coming Soon




Calendar of  
Events



Current  
Infrastructure  
Opportunities

Check out the useful areas in the left column including other funding or technical assistance opportunities. Information on writing grant applications is also available.




This site maintained  
by the  
Transportation  
Improvement Board.

For more information contact [IACCHelp@TIB.wa.gov](mailto:IACCHelp@TIB.wa.gov)

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Home | Calendar | Current Opportunities | Maintenance | Partners  
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Washington State  
Public Works Board  
"Investing in Washington's Future"



# Appendix C: State Coordinated Funding Overview

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Appendix C provides a summary table of the coordinated funding efforts for all states. The information summarized in the table was gathered from research conducted by EPA on each state. The information is focused primarily on the states' implementation of EPA's SRF programs. After the initial research was completed, each state's SRF program was contacted to verify its information and to make changes as necessary. While the information presented was accurate at the time it was gathered, some of the information may change due to the dynamic nature of state coordinated funding programs.

State	Coordinate Funding?	Coordinated Funding Approach						Name of Group/ Organization Fostering Coordinated Funding?	Website for Information on Coordinated Funding	
		Coordinate Selection of Systems	Uniform Application Packages	Uniform Environmental Reviews	MOU	Meetings (Indicate how often)	Conferences/ Workshops/ Funding fairs			
AL	Yes	✓	✓			Quarterly				
AK	Yes	✓			✓	Quarterly	✓			
AZ	Yes	✓				Quarterly general meetings and monthly project meetings		Project of the Year Award Community Charettes	Rural Water Infrastructure Committee (RwIC)	
AR	Yes		Uniform Pre-Application			Monthly			Water and Wastewater Advisory Committee	<a href="http://www.aedc.state.ar.us/WWAC/">www.aedc.state.ar.us/WWAC/</a>
CA	Yes	✓		✓	✓	✓	✓	California Finance Coordinating Committee (CFCC)		<a href="http://www.cfcc.ca.gov">www.cfcc.ca.gov</a> <a href="http://www.swrcb.ca.gov/cvphome/mss/cfccfr.htm">www.swrcb.ca.gov/cvphome/mss/cfccfr.htm</a> <a href="http://www.dhs.cahwnet.gov/org/ps/ddwem/SRF/SRFindex.htm">www.dhs.cahwnet.gov/org/ps/ddwem/SRF/SRFindex.htm</a>
CO	Yes				Separate MOUs with Depts. of Local Government, the Water Quality Control Division of CO Dept. of Health, and the CO Water Conservation Board	Quarterly	✓	Discussion of pooling funds	Funding Coordination Committee	<a href="http://www.cdphe.state.co.us/wq/Drinking_Water/Financial_Assistance.htm">www.cdphe.state.co.us/wq/Drinking_Water/Financial_Assistance.htm</a>
CT	Yes	Possible, but has not yet happened	Possible, but it is untested since no projects have actually been co-funded	Possible, but it is untested since no projects have actually been co-funded		Occasionally if needed, but nothing on a routine basis				

State	Coordinate Funding?	Coordinated Funding Approach						Name of Group/ Organization Fostering Coordinated Funding?	Website for Information on Coordinated Funding
		Coordinate Selection of Systems	Uniform Application Packages	Uniform Environmental Reviews	MOU	Meetings (Indicate how often)	Conferences/ Workshops/ Funding fairs		
DE	Yes	Coordinate informally with USDA/RD		No, but generally accept other agencies' reviews		Quarterly	Semi-annual Expo through Del Tech Community College and annual events: DE RWA; DE Inst. for Local Government Leaders, etc.	Uniform Payment Disbursement Request	
FL	Yes	Under Development				Quarterly	FL's annual SRF Workshop includes all drinking water and wastewater funding agencies	Developing clearinghouse website	Florida Rural Water Association
GA	Yes		With State-funded loan program				GEFA attends annual meetings of non-profits	Developing coordinated marketing and application assistance	www.gefa.org/
HI	No								
ID	Yes					Quarterly	✓	Advantage Handbook	Advantage Group
IL	Yes	✓				Quarterly			Infrastructure Funding Coordinating Committee
IN	Yes			No, but environmental reviews coordinated		Monthly			Environmental Infrastructure Working Group, headed by the Indiana Rural Development Council
IA	Yes		Uniform Pre-application only			Monthly	Annual workshop with consulting engineers	DWSRF funds may complement other grants (e.g., CDBGs)	www.state.ia.us/government/dnr/organiza/epd/wtrsupply/srf/srf.htm

State	Coordinate Funding?	Coordinated Funding Approach						Name of Group/ Organization Fostering Coordinated Funding?	Website for Information on Coordinated Funding
		Coordinate Selection of Systems	Uniform Application Packages	Uniform Environmental Reviews	MOU	Meetings (Indicate how often)	Conferences/ Workshops/ Funding fairs		
KS	Yes					Monthly	Yes	Kansas Inter-Agency Committee (KIAC)	
KY	Yes	✓	✓			Monthly			
LA	Yes							Infrastructure Information Center	<a href="http://www.srch2.doa.state.la.us/infra/">www.srch2.doa.state.la.us/infra/</a>
ME	Yes	✓		No, but will concur with environmental review from other funding agency		Twice per year		Maine Drinking Water Program, USDA/RD, Dept. of Economic and Community Development	<a href="http://www.state.me.us/dep/blwq/grants.htm">www.state.me.us/dep/blwq/grants.htm</a>
MD	Yes	Coordinate with USDA/RD and partial coordination with other funding partners	Partial with USDA/RD	✓		Quarterly	Annual events: Maryland Municipal League, Maryland Association of Counties, etc.	DWSRF Project Priority List, created during annual project solicitation, used to coordinate funding with other agencies	<a href="http://www.mde.state.md.us">www.mde.state.md.us</a>
MA	No								
MI	Yes					As needed		Michigan Dept. of Env. Quality Partnership with USDA/RD (wastewater only)	<a href="http://www.michigan.gov/deq/0,1607,7-135-3307_3515_3517N_00.html">www.michigan.gov/deq/0,1607,7-135-3307_3515_3517N_00.html</a> <a href="http://www.deq.state.mi.us/documents/deq-ead-mis-SRF-SRFhardship.pdf">www.deq.state.mi.us/documents/deq-ead-mis-SRF-SRFhardship.pdf</a>
MN	Yes	✓		✓	Only for CWSRF	Biannually (or more often if needed) with Rural Development Biannually with CDBG Annually with Army Corps of Engineers	Attend conferences or other events with funding partners	All funders use CWSRF and DWSRF Project Priority Lists	"Who's Hot, Who's Not" meetings



State	Coordinate Funding?	Coordinated Funding Approach						Name of Group/ Organization Fostering Coordinated Funding?	Website for Information on Coordinated Funding
		Coordinate Selection of Systems	Uniform Application Packages	Uniform Environmental Reviews	MOU	Meetings (Indicate how often)	Conferences/ Workshops/ Funding Fairs		
MS	Yes								
MO	Yes	Coordination with USDA/RD and CDBG		Under development		Monthly	✓	Other grants may be used to complement DWSRF loans. Also, DWSRF program provides interim loans.	Water and Wastewater Review Committee
MT	Yes		✓	✓		Bimonthly	✓	Video	Water, Wastewater, and Solid Waste Action Coordinating Team
NE	Yes		Common pre-application	Adopt other agencies' reviews		Monthly	Held separately	DWSRF and CWSRF programs provide interim financing	Water Wastewater Advisory Committee
NV	Yes	Project must be on the DWSRF Project Priority List to be eligible for state grant. Systems use DWSRF ranking as part of their project documentation.		Environmental reviews not performed for non-federally funded projects in accordance with NEPA. DWSRF has NEPA-like process approved by EPA.		Quarterly	As part of ongoing AWWA, Nevada Rural Water Association, and others	Quarterly "Waterlines" newsletter provides information on assistance and funding sources	Infrastructure for Nevada Communities (INC), coordinated by Rural Community Assistance Corporation (RCAC)  www.rcac.org/pubs/WL/2002/Fall-Insert.pdf  www.rcac.org/pubs/WL/2001/Fall2001inst.pdf

State	Coordinate Funding?	Coordinated Funding Approach						Name of Group/ Organization Fostering Coordinated Funding?	Website for Information on Coordinated Funding
		Coordinate Selection of Systems	Uniform Application Packages	Uniform Environmental Reviews	MOU	Meetings (Indicate how often)	Conferences/ Workshops/ Funding Fairs		
NH	Yes	✓				Quarterly	Some seminars on "Funding Options" are worked into the yearly Drinking Water Trade Show		
NJ	No								
NM	Yes		In progress			Quarterly one-stop-shop meetings	NM Infrastructure Finance Conference, Association of Counties Annual Conference, Municipal League Annual Conference, Rural Water Conference, and DFA Local Government Budget Conference	Rural Water Association Rural Community Assistance Corporation (RCAC)	
NY	Yes		✓		✓	Bimonthly steering committee meetings		Water and Sewer Infrastructure Co-Funding Initiative	www.nycofunding.org
NC	Yes					As needed			
ND	No								

State	Coordinate Funding?	Coordinated Funding Approach						Name of Group/ Organization Fostering Coordinated Funding?	Website for Information on Coordinated Funding
		Coordinate Selection of Systems	Uniform Application Packages	Uniform Environmental Reviews	MOU	Meetings (Indicate how often)	Conferences/ Workshops/ Funding Fairs		
OH	Yes	Coordinating Committee works to streamline interagency funding provisions. Finance Committee coordinates financial resources for small communities. Technology Transfer Committee identifies and develops new or underutilized technologies for small communities.		✓		Quarterly	Curriculum Committee offers workshops for local officials on water and wastewater systems	Small Communities Environmental Infrastructure Group	www.sceig.org
OK	Yes		✓	✓		Monthly		Funding Agency Coordinating Team	www.state.ok.us/~owrb/forms/fa/fact.html
OR	Yes	✓	✓			✓	✓		www.ohd.hr.state.or.us/dwp/srlf.cfm
PA	Yes			✓			✓		www.econ.state.or.us/safe_wtr.htm www.dep.state.pa.us
PR	No								www.pennvest.state.pa.us
RI	Yes	Possible, but has not yet happened		Funding agencies coordinate environmental reviews so that there is little or no duplication of effort		Occasionally if needed, but nothing on a routine basis		Atlantic States Rural Water Association	Atlantic States Rural Water works with the State and suggests co-funding opportunities if a borrower can benefit from it
SC	No								

State	Coordinate Funding?	Coordinated Funding Approach							Name of Group/ Organization Fostering Coordinated Funding?	Website for Information on Coordinated Funding
		Coordinate Selection of Systems	Uniform Application Packages	Uniform Environmental Reviews	MOU	Meetings (Indicate how often)	Conferences/ Workshops/ Funding fairs	Other (specify)		
SD	Yes	✓				Quarterly with USDA/RD		Cooperate with Dept. of Transportation to coordinate road, water, and wastewater projects		<a href="http://www.state.sd.us/denr/DFTAMWWFunding/wwwfprg.htm">www.state.sd.us/denr/DFTAMWWFunding/wwwfprg.htm</a>
TN	Yes	With Rural Utilities Service		No, but environmental reviews coordinated		As needed	Annual events: TN Municipal League Conference	Publications (Finding Money III)		
TX	Yes			✓	With ORCA (HUD Funds) for Economically Distressed Areas Projects	As needed		Numerous grants and loans administered through Texas Water Development Board		<a href="http://www.twdb.state.tx.us/">www.twdb.state.tx.us/</a> <a href="http://www.twdb.state.tx.us/assistance/financial/financial_main.htm">www.twdb.state.tx.us/assistance/financial/financial_main.htm</a>
UT	Yes					As needed		The Water Development Coordinating Council		<a href="http://www.drinkingwater.utah.gov">www.drinkingwater.utah.gov</a>
VT	Yes	Coordinate informally with USDA/RD	No, but has been considered and remains a possibility		✓	Quarterly meetings to review project status	Biannual Engineers Workshop	Engineers Liaison Committee meets quarterly and deals with general issues pertaining to funding programs	Vermont Dept. of Env. Conservation and USDA/RD	

State	Coordinate Funding?	Coordinated Funding Approach						Name of Group/ Organization Fostering Coordinated Funding?	Website for Information on Coordinated Funding
		Coordinate Selection of Systems	Uniform Application Packages	Uniform Environmental Reviews	MOU	Meetings (Indicate how often)	Conferences/ Workshops/ Funding Fairs		
VA	Yes	✓		Each agency generally accepts the others' reviews, and a formal process is almost complete		At least quarterly	Project specific Small Business Institute presentation. Other agencies encouraged to attend VA Dept. of Health workshops.	Funding Partners (not a formal name)	
WA	Yes	✓			✓	✓	✓	Washington Community Economic Revitalization Team (WA-CERT) Washington's Infrastructure Assistance Coordination Council (IACC)	<a href="http://www.infrafunding.wa.gov/">www.infrafunding.wa.gov/</a>
WV	Yes	✓	Pre-application			Monthly	✓	WV Infrastructure and Jobs Development Council	<a href="http://www.wvinfrastructure.com">www.wvinfrastructure.com</a>
WI	Yes					Semi-monthly	✓	Drinking Water and Wastewater Funding Sources	<a href="http://www.dnr.state.wi.us/org/caer/cda/cfindex.html">www.dnr.state.wi.us/org/caer/cda/cfindex.html</a>
WY	Yes	✓	✓			Bi-monthly	✓	Regular interagency discussions and coordination efforts	<a href="http://deq.state.wy.us/index.asp?pageid=129">http://deq.state.wy.us/index.asp?pageid=129</a>



United States  
Environmental Protection Agency  
Washington, DC 20460



**Where to go for  
more information:**

Visit the EPA Office of Water Funding website at  
[www.epa.gov/water/funding.html](http://www.epa.gov/water/funding.html)